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ABSTRACT

A number of exemplary planning mechanisms and systems implemented by Native American Comprehensive Employment and Training Act (CETA) grantees to achieve coordination of resources for reservation economic development are highlighted in this handbook on integrated planning. Also included is an examination of the problems caused by the failure to plan and integrate development resources, especially CETA, and of the benefits to be gained when tribes set up some type of planning system. The experiences of three exemplary planning efforts (by the Spokane tribes, Fort Peck tribes, and Pima and Maricopa tribes), ranging from the simple to the more complex, are presented together with some suggested approaches to planning and resource coordination. The suggestions presented on how to improve the use of CETA to support tribal economic development focus on two types of activities: developing a CETA planning capacity and creating linkages between CETA and other economic development bodies, both on and off-reservation. It is emphasized that these suggestions must start with a commitment to planning and its coordination. The information presented should prove useful to reservation consortium planners, CETA staff, and tribal administrators interested in a better use of their development resources. (AN)

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CETA and RESERVATION ECONOMIC DEVELOPMENT

EXEMPLARY projects

Planning for Economic Development

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FOREWORD

CETA and Reservation Economic Development

This series of handbooks describes a number of excellent approaches adopted by Indian reservations and Native Alaskan communities to link their Comprehensive Employment and Training Act (CETA) programs to their economic development activities. The series is the end product of a broader study of CETA and Indian reservation economic development commissioned by the Office of Planning, Evaluation and Research of the United States Department of Labor. In completing the study, Urban and Rural Systems Associates (URSA) of San Francisco visited 27 Indian reservations and Native Alaskan communities across the country and interviewed over 300 individuals from those reservations and from federal agencies such as HUD, HEW, COMMERCE/EDA, BIA, IHS, and DOL. Discussions were held with staff members of the U.S. Senate Select Committee on Indian Affairs and the U.S. House Committee on Interior and Insular Affairs.

Reservation economic development has become the major thrust of the Division of Indian and Native American Programs (DINAP) of the Office of National Programs of DOL, the agency responsible for administering the Indian CETA program. Since 1977, DINAP has set in motion a number of policy initiatives to promote linkages between CETA programs and economic development activities in Native American communities. In addition to encouraging reservations to make creative use of CETA funds, DINAP's efforts include two grant programs--the Native American Economic Stimulus Program (NAESP) of FYs 1977 and 1978 and the Native American Private Sector Initiative Program (NAPSIP) of FY 1979--that have assisted these communities in developing and sustaining new economic development efforts in a wide range of areas.

Representing yet another such initiative, the study of CETA Plans and Reservation Economic Development focused on exemplary uses of CETA by individual reservation grantees and documented those programs or program elements that are successful and relevant to other reservations trying to get the most out of their CETA dollars. Those programs deemed "exemplary" address common problem areas in a unique way that can be broadly applied to similar situations on other reservations.

Phase I of the study resulted in an interim report that discussed the unique problems of Indian economic development, documented the novel and creative uses of CETA programs funds observed on the study sites, and highlighted a number of reservations whose programs were considered exemplary. Phase II returned the study team to the candidate exemplary sites to validate and document initial findings. Discussions with federal and state agency personnel were held to stimulate and promote interagency cooperation and coordination. Finally, the study team has developed and produced this series to guide reservation program staffs in their future planning and development activities. We hope that these handbooks will be the first of a continuous series of documents and training and technical assistance efforts to assist Indian reservations and Native Alaskan communities in their struggle for self-determination and self-sufficiency.

CETA & RESERVATION ECONOMIC DEVELOPMENT

Exemplary Project Handbook: Planning for Economic Development

BY:

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Sally Jo Jones, Editor

SEPTEMBER 1980

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This manual represents one product of a research and development study commissioned by the Office of Policy Evaluation and Research (OPER) of the Department of Labor. The study examined the relationship between CETA Title III Indian programs and Indian reservation economic development on twenty-five Indian reservations and Native Alaskan communities nationwide. During the study a wide range of materials was collected, and interviews were conducted with over 400 persons. The study analyzed the relationships between the CETA programs and the EDA, HUD, BIA, IHS, USDA, etc. funded economic development activities, and provided a perspective on the state of reservation economic development.

This manual highlights a number of exemplary planning mechanism and systems implemented by Native American CETA grantees, both reservation-based and consortia, to achieve coordination of resources for reservation economic development. It includes an examina-

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Abstract, continued

tion of the problems caused by the failure to plan and to integrate development resources, especially CETA, and of the benefits to be gained when tribes set up some type of planning system. The experiences of three exemplary planning efforts, ranging from the simple to the more complex, are presented together with some suggested approaches to planning and resource coordination. This information will be useful to reservation consortium planners, CETA staff and tribal administrators interested in better using their development resources.

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PREFACE

The past 10 years have witnessed an effort by Native American communities to break the bonds of economic and social dependency on the non-Indian world and to achieve economic self-determination. This effort has followed primarily on the passing of the Indian Self-Determination and Education Assistance Act (P.L. 93-638) and the consequent increase in government support for jobs and business development. Such efforts are severely handicapped, however, by a failure to properly coordinate the use of human and physical resources, stemming from the failure to coordinate program and project development at the planning stage. The result is often missed development and employment opportunities--costs that tribes can ill afford.

This handbook on integrated planning was developed to help tribes avoid such costs. It is designed to assist several different groups and key participants in reservation development efforts:

- Reservation or consortium CETA program directors and staff
- Reservation or consortium planners
- Tribal administrators and council members
- Tribal program and project directors
- Tribal enterprise managers

Because the problems of planning and development extend beyond the CETA program and because the most effective use of CETA requires inter-program coordination, the participation of these persons in designing and implementing a planning system is critical.

This handbook documents the need for coordinating tribal economic development activities, especially by linking CETA funds to other resources, and highlights the exemplary efforts launched by a number of reservations to implement planning systems. As such, it builds on the exemplary projects handbook, Community Based Data Collection, designed to assist tribes in developing a consistent and accurate data base--the first step toward the program and project integration necessary to use limited resources most efficiently and effectively. Finally, this handbook describes a number of activities and mechanisms that key economic development actors should consider in designing, implementing and maintaining comprehensive and integrated planning systems for reservation or communities.

1. Problems of Reservation Economic Development

THE STATE OF THE RESERVATION ECONOMY

It is well known that Indians are among the most socially and economically disadvantaged of all Americans. Their distress results from a combination of historical circumstances dating back to the loss of most tribal lands and resources and the consequent dissolution of self-sufficient tribal economies. In spite of federal and tribal efforts over the past 15 years to support the development of reservation economies, primarily through vast increases in the amount of federal money flowing in, most reservations still lag behind other economically distressed areas.

Today, most reservations share similar economic characteristics: a high rate of unemployment, lack of adequate housing and community facilities, lack of access to capital, low levels of education and skills, and lack of job opportunities. Most reservations are isolated and do not have the facilities in place to attract and sustain business development. Those few businesses and services located on the reservation are usually owned by non-Indians. Most tribal members have to go off the reservation for goods and services. Therefore, the money coming into the reservation, primarily from federal grants or transfer payments, does not circulate or remain there to develop the tribal economy. In fact, some reservations estimate this loss of income to be as high as 90 percent.

Even for those reservations endowed with a wealth of natural resources, the lack of capital and technical expertise and/or legal ties to pre-existing non-Indian leases have kept most tribes from directing or managing the development of those resources. Tribal resources traditionally have been exploited by non-Indians and removed from reservations, again preventing the growth of the local reservation economy. Tribal members often face discrimination when seeking employment off the reservation or in non-Indian-owned businesses on the reservation. Finally, as cited by a federally funded research project, the Indian community "has little

political power to apply in trying to affect change in the existing economic order."[1]

The application of traditional economic development strategies to reservation economies has not met with great success. This is because "Indian economic development" differs from both rural and general economic development along several dimensions: internal factors relating to indigenous cultural, social, governmental and natural resource characteristics of Indians and Indian reservations; external factors in the relationships with state and federal programs and agencies involved in economic development; and recent development trends and pressures in Indian Country.

Internal Factors

The Indian enjoys a unique relationship with his/her reservation, land, tribal government, and economic development projects. A member as well as citizen of the community, she/he has strong religious, cultural, and economic ties to the reservation, to the tribe, to the clan, to the family, and to the land/water/air and other natural resources that constitute the environmental system. Tribal government, an intimate part of the Indian's daily life, is often the focus of his/her political, economic and social impulses.

On the Indian reservation or in the Native Alaskan Community, property is frequently communally owned and the authority for economic development is vested in governmental and community organizations. This practice differs from the principles of individual entrepreneurship and capitalism that form the foundation of American economic development generally and are carried through many, though not all, rural non-Indian economic development efforts. Thus, economic development on the Indian reservation must identify and re-introduce new economic systems while, at the same time, not violating the social and cultural principles of the Natives. The economic development process must also include the development of the necessary infrastructures to support the new economic system, such as governmental operations and basic community services. In non-Indian rural areas, political and community infrastructures generally exist.

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1. Nancy J. Owens and Ken Peres, Overcoming Institutional Barriers to Economic Development on the Northern Cheyenne Reservation (Northern Cheyenne Research Project, January 1980), p. 9.

External Factors

The Indian reservation's relationship to surrounding non-Native communities is also unique. Underlying this relationship is the singular trust status of Indian reservations with the federal government. The government's holding tribal land in trust precludes using the land as collateral to obtain private financing for economic development projects. Without access to private credit for tribal or individual enterprises, tribes are forced to rely on limited federal resources for seed money and development capital.

Posed against this dependency on the federal government is the fact that many of the federal programs, policies and funding sources that have constituted the most consistent and visible means of support to non-Indian rural America for 40 years have not been accessible to most Indian reservations and Native Alaskan villages. The many rural assistance programs of New Deal days--the Federal Land Bank, Federal Intermediate Credit Bank, Bank for Cooperatives, Farmer Cooperative Service, and Production Credit Administration, for example--have had negligible effect on the lives of Indian America, although they have literally remade the rural non-reservation economy. The support for Indian economic development has fallen primarily on the Economic Development Administration (EDA), which has been funded far below the level of actual need.

Recent Trends and Pressures

During the past ten years in particular, federal funds flowing to reservations for tribal community and economic development have increased dramatically, primarily as a result of the passage of P. L. 93-638, the Indian Self-Determination and Education Assistance Act. Major funding sources include the Department of Housing and Urban Development for housing, community development and lately economic development; EDA; the Administration for Native Americans (ANA); and the Department of Labor Indian CETA program, in addition to the more traditional funding of the BIA.

This increase in funding has been accompanied by an expansion in tribal government operations to manage the increase in programs and projects; the return of tribal members to reservations; and an increase in the resident reservation population. Population increases, in conjunction with tribal members' desire to work on rather than off the reservation, have exerted additional pressure for the creation of

jobs, housing and community facilities. Off-reservation pressure for the development and use of valuable Indian resources, including energy, water, timber and fish, has also increased dramatically over the past decade. Conflicts over the timing and nature of development threaten traditional social and economic values and add another level of complexity to tribal decision-making about economic development.

Despite the inflow of millions of federal dollars to reservation economies over the past 10 years, the long-term business development and employment impacts expected from the use of these funds have been disappointing to date. While capital resources are obviously essential to economic development, it has become apparent to both funding sources and economic development practitioners that the way in which money and other resources are organized and directed is also critical. Yet the very way in which reservations are funded for economic development makes efficient and integrated use of development resources difficult.

THE PROBLEMS OF ECONOMIC DEVELOPMENT FUNDING

The federal support on which most tribes depend for development is actually dispensed by a number of agencies on a categorical--that is, program by program--basis rather than in a comprehensive manner. Each agency has different application and reporting requirements, different funding priorities, different application deadlines and funding cycles, and different program monitoring and performance requirements. Such fragmented funding and program operation are time-consuming and costly to tribes. It also tends to lead to program isolation on the reservation. Set up to respond to external rather than tribal requirements, programs are often planned and implemented in a vacuum, apart from other programs and activities on the reservation. Federal gaps in funding support, failure to fund projects adequately or regularly, and failure to provide operating capital also hamper the successful development and implementation of projects.

The problem of program isolation is particularly evident with CETA programs. Unknown to many people, CETA has proven to be the largest and most stable source of funding support for reservations. Over the past six years, it has provided

more than $500 million to reservations and has trained and subsidized jobs for several thousand tribal members. CETA has supported tribal government operations, funding such critical functional areas as planning, program administration, tribal courts and law enforcement operations, and project operations (in all service delivery fields). It has also been an important support to tribal economic development, both through planning and project operations. On some reservations, several beginning enterprises have been able to get off the ground by using CETA PSE employment as a type of venture capital, subsidizing start-up staff until they can be supported by revenues. Of even more dramatic benefit have been NAESP and Title VII monies, which have supported planning and staff training as well as subsidized employment. Title VII, in particular, has helped to create linkages between CETA and the "private sector" while financing tribal and Indian-owned business.

The problem is twofold: many people do not know about or understand the creative ways in which CETA can be used as an economic development resource; others fail to plan adequately to take advantage of this resource. Often isolated from other reservation programs by its reporting and administrative requirements, CETA is seen only as a way to provide 12-month jobs or to meet a crisis if a particular department loses staff through funding constraints. Because the CETA program is often isolated day-to-day from other departments, department directors and planners tend to request CETA slots for upcoming projects after the slots have already been allocated. And because CETA is such a large resource and jobs are so critical, tribal council leaders often pressure the program for their political support.

WHY CONDUCT ECONOMIC DEVELOPMENT PLANNING

The Story Told Wrong

On a trip through the Southwest, we saw the construction of a new community clinic nearing completion. Long a top community priority, the clinic and its successful funding were a source of pride to the residents. Our conversations revealed, however, that no tribal members had yet been trained in health care, or hospital management. Thus, the many new jobs that would be created when the clinic opened would go to non-tribal members, while the unemployment rate among tribal members would remain high. In addition, a non-Indian construction company was building the clinic.

CETA staff had been unaware of the opening date of the clinic so had allocated training positions to other departments several months before. Neither the tribal planner nor the designated clinic manager had approached the CETA program to request training slots until a few months before the clinic was to open, when it was too late.

The results of failing to link CETA to this project:

- Loss of training opportunities for tribal members in both health and construction.
- Loss of potential unsubsidized employment of tribal members.
- Loss of income to the reservation when non-Indians take wages and salaries off the reservation.
- Loss of cash flow and income to the tribe by allowing construction funds to go to a non-Indian construction company.
- Failure to build the reservation economy or increase the community standard of living.

The problem described here resulted from a lack of information sharing and coordinating resources. Sadly, adequate resources were available in this instance if people had gotten together sooner. This is a situation that could have been avoided with better planning. Yet almost every reservation we visited had a

story like this to tell. Again and again we heard people say, "If only we had known" about a particular program, funding source, development strategy or project need.

There is no doubt that planning is a difficult activity for reservations. Since reservation governments are in part slaves of the federal categorical grant-in-aid system, the bulk of planning that is done is crisis-oriented program planning to prepare and submit applications that may or may not be funded. And funding for planning is rarely adequate. Usually provided through EDA, planning funds seldom support more than one or two planners, even on large reservations. Without additional support, planners are usually preoccupied with fulfilling their grant obligations: to assist the Tribal Council in preparing an Overall Economic Development Plan (OEDP) (see Appendix A); to prepare tribal grant applications to EDA; and sometimes to monitor EDA-funded projects. If time permits, EDA-funded planners sometimes assist other departments in project planning and proposal writing.

EDA-funded consortium planners have an even more difficult time. Often required to prepare OEDPs for several tribes or communities, they spend many hours and large portions of the planning budget to travel the typically long distances between reservations.

Because tribal resources are so scarce in general, tribal administrators are often unable to supplement planning grants with tribal funds. And as with some outside communities, tribal governments frequently view planning as a low funding priority, a kind of frivolous and wasteful use of money, rather than for the value that planning can offer.

At present, there is also a lack of comprehensive human resources planning on most reservations. Most "planning" is really preparing project, proposal and grant applications. CETA administrators, who try to allocate as much money as possible to trainee positions, keep administrative positions such as planning to a minimum. Most CETA staff positions are designated as job developers. Cumbersome administrative and reporting requirements discourage spending additional time on planning. Uncertainty about the amount of funding to be received each

year and several changes in submission deadlines over the past few years also tend to discourage planning.

Although the OEDP requires information on unemployment and labor force skills--information to which the CETA program has greatest access--CETA staff are rarely involved in the economic development planning process. Indeed, it appears that CETA is usually involved in providing support to projects already underway rather than in the planning stages.

Planning is difficult to fund and to do; but the failure to plan and coordinate the use of resources takes a high social and psychic as well as economic toll that tribes can ill afford: continued high rates of unemployment, buildings underutilized or vacant, projects going belly-up, tribal members leaving the reservation to look for jobs, and the loss of revenues spent on non-reservation goods and services. Worst of all is the failure to use resources such as CETA to create a permanent long-term gain. As one tribal chairman said:

> *We cannot use CETA to paint the same building year after year. We have to create something long-lasting for our youth. We must learn to use our resources many times over. We must prepare for the time when we will no longer be dependent on the federal government.*

The Story Told Right

On a trip through the Northwest, we came upon the construction of a trading post nearing completion and ready to open within a few days. Inside, 12 CETA trainees were learning how to operate cash registers, stock supplies, take inventory, etc. They were being trained by the non-Indian manager, who was under a two-year contract with the tribe to run the store and train an Indian manager to take his place when his contract expired.

The building and its parking lot had been built by the tribal construction company, composed of several permanent staff and several CETA trainees and members of the BIA-funded Indian Action Team. The latter two were both apprenticing in the construction trades union.

Tribal members were excited and proud to have built their new store and to be ready to assume the responsibility for running it.

The results of linking CETA to this project:

- Training in viable job categories--construction, retailing, and management--for several tribal members.
- Creation of potential unsubsidized permanent employment for tribal members.
- Increase in the salaries and standard of living of tribal members.
- Increase in the amount of money flowing to and staying on the reservation, including the construction funds, income generated from store sales to tribal members who no longer have to leave the reservation for food, and income generated from sales to non-Indians passing through the reservation.
- Boosting the reservation economy and the ability and confidence of the tribe to direct and manage tribal affairs.
- Maximizing the use of scarce development resources.

The concept central to this project is the "linking" of the CETA resource to other resources. The CETA department had a human resources planning council composed of the CETA staff, the EDA planner, and staff from BIA employment assistance and the Indian Action Team. A broader planning process included regular meetings composed of tribal committees, department heads including CETA, the tribal contracts officer, and the tribal council.

CETA staff alone cannot accomplish the coordination necessary for such successful projects. CETA staff can, however, play a strong role in increasing awareness of the need for coordination and in initiating linkages between the development of tribal human and physical resources.

2. Some Excellent Examples of Economic Development Planning by Indian Tribes

We have seen some of the problems confronting tribes in their efforts to generate and sustain economic development. And we have seen how these problems are compounded by a lack of coordination at the tribal level. Under these conditions, tribal planning usually becomes a coping exercise rather than a way of facilitating development efforts. As discussed in Chapter 1, one way to overcome some of these barriers to economic development is for tribes to institute a system of planning that allows for a comprehensive and integrated approach to resource utilization and development. This chapter describes some of the exemplary planning approaches that tribes have implemented to bring about increased coordination.

During the course of the study, the URSA team came upon a variety of planning mechanisms that tribes have developed to integrate their human resources with economic development resources. These mechanisms have evolved, for the most part, over the past ten years and are still in relatively simple forms that can be adapted easily by other tribes. Some are more formal than others, but all are geared toward achieving the information sharing, coordination and cooperation essential for successful development efforts. In any of these ways, the CETA program can become involved in the initial stages of priority setting and project planning as well as in the comprehensive long-range planning process, rather than just being brought in at the implementation stage to train and provide staff for projects.

Basically, these planning mechanisms comprise three types of functional approaches:

- CETA-Initiated Coordination
- Committee Systems
- Integrated Planning and Management

While there are similarities in the functions, roles, and responsibilities of these three approaches, they differ in the seat of coordination of the planning

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process. In the first approach, the impetus and primary responsibility for coordinating planning rests with a CETA body, which works with tribal officers and other programs to integrate CETA initiatives with overall tribal development priorities. The most exemplary use of this approach was found on the Spokane Reservation. Committee systems typically establish one or more groups of representatives from appropriate tribal programs and projects to review plans and proposals, share information, and make recommendations to the tribal council. In their exemplary application of this approach, the Assiniboine and Sioux Tribes of the Fort Peck Reservation use committees at several levels to achieve coordination. In the final approach, the responsibility for review and coordination is vested in a formal management and development office endowed with greater decision-making authority than any of the coordinating bodies of the other two approaches. The most complete and formal integrated planning and management system encountered during the study was operating in the Salt River Pima-Maricopa Indian Community (SRPMIC). Each of these reservations and its exemplary use of a planning and coordination approach are described in the following sections.

THE SPOKANE PLANNING PROCESS: CETA-INITIATED COORDINATION

The Spokane Reservation is a good example of how a CETA consortium can support tribal economic development by adding human resources planning to the scope of tribal economic development activities and by initiating planning and project development linkages. The result of this CETA coordination and support was the award of NAESP training funds for the top tribal economic development priority.

Background

The Eastern Washington Indian Consortium (EWIC) is the CETA administrative arm of the Spokane, Yakima, and Kalispel Reservations of Washington and the Coeur d' Alene Reservation of Idaho. EWIC's line of authority rests with an eight-person board of directors made up of two members from each of the tribal councils. The four participating tribes vary significantly in size and sophistication, ranging from the 181-member Kalispel Tribe to the 6,300-member Yakima Nation. Each tribe has a CETA representative who does outreach, intake, placement, etc., and who acts as a liaison with the tribal council.

Since its formation in 1974, EWIC has worked to create a strong cooperative relationship among the tribes, promoting many types of pan-tribal development. At the same time, EWIC has stressed the individual administrative primacy of the four tribal councils that make up the consortium. EWIC is one of the few grantees with a research director to work with the board of directors and individual tribal planners in the search for additional sources of funding, thus linking CETA with economic development planning.

At the Spokane Indian Reservation, organized planning and economic development have been ongoing for some time. A $6.7 million land claims settlement awarded the tribe in 1967 has been used for a land purchase program, tribal investments (especially in timber), a scholarship fund, and a tribal credit program. The settlement gave the tribal council and its staff confidence in the future of the reservation. Eventually, the council members received full-time salaries, and the council itself expanded from three to five members as the workload increased due to tribal expansion and development. More recent development efforts have included:

- Agricultural Development--Two EDA Local Public Works grants and a major Bureau of Reclamation grant (settlement of claims against the Department of Interior) have been used to finance a major farm project, which was the tribe's number one priority for several years. It was supported by a 1977 NAESP grant from DINAP.

- Trading Post--An EDA-funded market/trading post opened in 1979 and has been supported by CETA PSE slots.

- Mineral Development--The tribe leased land for the Sherman Uranium Mine to Western Nuclear, Inc., of Denver and secured in the lease several important concessions, including preferential hiring for tribal members. The impact of mining operations is being monitored by the Planning Department.

Development of the Spokane Reservation has created its own level of stress as services, housing, and the infrastructure development have lagged behind. The increased employment opportunities have drawn many people back to the reservation. Tribal employment alone grew from 88 in 1971 to 270 in 1977, and the overall unemployment rate fell from 65% in 1971 to 23% in 1977.

As with other communities experiencing the effects--positive and negative--of growth, the tribal leaders are concerned with protecting and enhancing the tribal ways of life while developing tribal resources and employment opportunities for those who have chosen to remain on or move back to the reservation. Given the paucity of the sizable resources necessary to develop viable enterprises and create long-term employment opportunities, the tribal council has placed a strong emphasis on maximizing program and funding linkages to implement those projects that will fulfill tribal objectives. The council sees that the best way to maximize these scarce resources is through a comprehensive and integrated approach to human, natural, and financial resource development.

CETA is integral to this approach. While CETA trainees are placed in a variety of administrative and departmental (such as social services) positions, Spokane's focus is to place CETA trainees in tribal enterprises. Planning activities focus

on identifying and planning for the development of such enterprises. The tribal council and planning staff receive strong support in these efforts by the staff of EWIC.

The Economic Development Planning Process

The Spokane Tribal Business Council is the five-member OEDP committee and enunciates the tribe's priorities and policies. Tribal planners continuously review the OEDP with the council and BIA and try to be a funnel for the development of all resources. Policies and plans are then implemented by the tribal and BIA staffs. The OEDP is seen as an economic base document and is sent out with all proposals and requests for information. Over the years, the tribal council has adhered consistently to the priorities set forth several years ago, and OEDP priorities guide the direction of future development efforts.

Planning at Spokane is characterized by strong interaction between departments and the tribal council. The Planning Office has a director who has been at Spokane for ten years, initially arriving as a consultant for the tribe's HUD 107 planning grant in 1970; an assistant planner; and a CETA trainee. In addition to conducting EDA-related planning activities, the planners support other departments who do not have a planning capacity, writing narratives and serving as information sources. The planner has daily interaction with the tribal council, and there is a mutual interchange of information.

The planner has good contacts with other tribes in the region. The tribe is also part of the Tri-County Economic Development District (TCEDD), and the Spokane tribal chairman is a member of its OEDP committee. Having helped Spokane get its original planning grant, TCEDD is a good source of information and resource sharing and goes through Spokane for its A-95 review process as a courtesy.

Past awards have been in education, planning, agricultural developments, law enforcement and community facilities. Future planning emphasizes revenue-producing economic activities as well as exploring new program areas, especially for support in health and more comprehensive educational and services activities to offset the imbalance incurred by rapid economic development.

The CETA Planning Process

wnen the CETA allocation is received by EWIC, the EWIC board of directors meets to determine the allocation for individual tribes. The EWIC executive director then meets with each member tribal council for a planning session to review the allocation and to describe CETA program changes and opportunities. The councils meet with their department heads, enterprise managers, and on-site CETA coordinators to determine their employment and training priorities based on the EWIC allocation. Planning for every CETA title involves a concerted effort to match trainee needs with the tribal development needs listed in the OEDP.

At Spokane, after the tribal council sets CETA placement priorities based on OEDP priorities and funding available for economic development projects, the on-site CETA coordinator interviews prospective trainees and makes recommendations on trainee selections to the tribal council. After trainees are selected by the tribal council, the council monitors trainee progress and tracks the placement positions. This tracking allows the council to see how well CETA is used and to make adjustments in the future if tribal priorities shift.

Spokane's major tribal development goals center on agriculture, roads construction and mining; thus, CETA training is heavily focused in these areas. To maximize resources, increase the chance of trainee success and create the potential for permanent unsubsidized employment, the tribal council program administrators and the on-site CETA coordinator make additional efforts to link CETA with other tribal and non-reservation training and supportive services programs. The most important of these is the Indian Action Team (IAT), funded through the BIA, which has supported trainees in most of the tribe's major development projects.

CETA Planning for Special Projects. The CETA planning process has the flexibility to allow for timely response to special sources of project and program funding. Both this flexibility and the type of support provided by EWIC were evident in Spokane's planning for NAESP and Title VII competitive grants.

Planning for the NAESP was similar to the normal planning process. The EWIC research director, after explaining the program to the tribal council, met with

department heads, including the Planning director, to discuss what could be done and how it would benefit total tribal development efforts. Department heads then developed and submitted project concepts to the tribal council, which assigned priorities to them. In FY 1977, top priority was given to an agricultural training project in line with long-standing tribal goals. Project planning was a cooperative undertaking by the EWIC research director, the tribal council, the tribal planner, the on-site CETA coordinator and the farm project director. The research director then wrote the proposal narrative, and EWIC submitted the proposal to DINAP. Spokane subsequently received a $105,982 grant for agricultural management training and employment.

The planning process for discretionary CETA economic development funds under Title VII - NAPSIP (Native American Private Sector Initiatives Program) - deviated somewhat from the above. In this case, the EWIC deputy director, rather than the research director, reviewed the Title VII application procedures and program areas with the Spokane CETA coordinator. She, in turn, discussed the materials with the tribal economic development planner. The planner and the tribal council then developed tentative proposal elements, but the tribal council decided for a variety of reasons not to submit a proposal. An important point is that the planning process is maintained even when decisions are made not to submit proposals.

What are the Key Elements of the Spokane Planning Process?

- The Spokane planning process is based on the constant interaction of CETA consortium (EWIC) staff, the CETA on-site coordinator, tribal staff planners, department heads and enterprise managers, and the tribal council. The EWIC staff takes a lead role in certain types of project planning and ensures that CETA is regarded and used to the fullest extent possible as an economic development resource. EWIC provides a creative and high level of support to its member tribes.

- With the assistance of a CETA planning trainee (who later became a full-time EWIC planner), Spokane conducted a demographic survey to assess tribal needs and update the population count. (See the Community Based Data Collection workbook for a description of this process.) Results of the

population survey and needs assessment have provided the information needed to plan for future employment, housing and service needs as well as to secure program funding and state revenue sharing.

- Through its research director, EWIC makes available to member tribes assistance in the areas of proposal writing, grantsmanship and tribal economic development. This person can lead the development of special projects, conduct research, and foster linkages with the private sector, educational institutions, state and local organizations, etc.

- Planning is taken seriously at Spokane. OEDP priorities are clearly defined by projects, and CETA positions are allocated in line with OEDP priorities. While CETA supports tribal administration and enterprise management, the most recent and illustrative example of the CETA-OEDP linkage was in the NAESP grant, where CETA was tied into the tribe's number-one economic development priority--agriculture. This project linked CETA to EDA, the Bureau of Reclamantion, and tribal resources and was highly coordinated due to CETA and EDA planner involvement. The farm supported under the NAESP grant is expected to be self-sufficient within five years.

- The tribal council, a stable body with considerable expertise, promotes CETA and economic development linkages. The composition of the council has remained basically the same for the past several years, and its positions are full-time paying jobs filled by highly committed individuals who view their positions like those of corporation executives. The council sets priorities, controls growth, and has adhered consistently to the tribal priorities set forth several years ago. Strong but conciliatory in dealing with agencies and other outsiders, the council will turn down funding if projects do not fit into tribal goals.

Summary

The positive results of the Spokane/EWIC interface in economic development planning and project development can be seen in many different areas. The award of the NAESP grant supported the development of Spokane's top OEDP priority, trained several tribal members, has linked with resources from a variety of sources, and

has contributed to the development of a self-sufficient enterprise. Many CETA trainees placed in other economic development projects have gained permanent, unsubsidized employment. This planning process helps ensure that development efforts are consistent with tribal priorities and that resources are used to the best advantage possible.

The Spokane tribe is committed to developing its internal planning capacity, focusing next on management and organizational development. The Integrated Grant Application (IGA) process is seen as one way to achieve greater coordination and better planning and to evaluate how well OEDP priorities are being followed. (See the description on the Salt River Pima-Maricopa Indian Community planning process for more detail about the IGA process.)

FORT PECK TRIBES PLANNING SYSTEM: COMMITTEE COORDINATION AT SEVERAL LEVELS

The Fort Peck tribes have developed a system of operational planning committees that ensures program coordination at several levels. Planning is stressed as a means of integrating human and physical resources to achieve long-term development; it also guides policies for exploiting energy resources on and near the reservation. The CETA program, either represented on or responsible to the various committees, enjoys numerous linkages with other tribal programs and economic development activities.

Background

Occupying over two million acres in northeastern Montana, the Fort Peck Indian Reservation is relatively isolated from major population, manufacturing and marketing centers, the nearest of which is 300 miles away. Two tribes share the reservation and its six small communities, with the Assiniboine and the Sioux population totaling approximately 5,500. Agriculture--primarily dryland wheat farming, beef cattle ranching and irrigated forage crop production--provides employment and livelihood to most of the residents. There are also several industrial enterprises, both tribal and non-Indian-owned. Part of the energy-rich Northern Great Plains, the reservation has seen only scattered oil production.

Like many other isolated, rural areas with an agriculture-based economy, Fort Peck employment is quite limited, mostly seasonal, usually part-time. As with other reservations, substandard housing conditions and inadequate health and social services have also created a demand for increased community development. And, like many other reservations endowed with or close to energy resources, the reservation experiences debates and pressures about the timing and extent of resource exploitation, impact on air and water quality, development of energy resources vs. preservation of land for farming and grazing, and water rights. Given the range of demands for economic and community development, tribal leaders are aware of the strong need for overall comprehensive planning and goal setting.

The Fort Peck tribes are building on a relatively long tradition of program planning and management as they prepare themselves for the problems and demands of

planning and managing future development in an environment becoming increasingly complex. This tradition dates back to the passage of the Economic Opportunity Act of 1964, when the federal government funded community action programs geared to increase community participation in anti-poverty efforts. The tribes were successful in bringing in a broad range of community action programs to the reservation. These programs were important not only for the resources they provided and their support for tribal self-determination but also for increasing community participation and providing the impetus to develop tribal management systems. The management, planning and community participation mechanisms that evolved to manage the range of tribal programs included various types and levels of committees, boards, and commissions.

According to many tribal members, the efficiency and coordination of current reservation programs and activities stem from the individual and community esteem generated by learning to manage those programs of the mid-1960s and from the successful development and adaptation of management planning mechanisms over time. Today, these mechanisms still include a broad range of committees and commissioners as well as day-to-day, informal personal contacts among all the people involved in planning and administering tribal programs. Their coordinative efforts are supported by a management style encouraging innovation, diversity and openness.

The Planning System Organization and Operation

Tribal Executive Board. The Fort Peck Tribal Executive Board is the governing body for the reservation. It has 12 voting members as well as a chairman, vice-chairman and a sergeant-at-arms, all of whom are selected through reservation-wide elections held every two years. The board is salaried and has full-time administrative as well as policy-making responsibilities. It has established economic development as the hub around which all activities, including human resource development, revolve.

So that the board can make intelligent decisions about such resource development, its members are assigned significant functional roles and serve on any of six standing committees: Finance; Public Safety; Land and Resources; Health, Education, and Welfare; Programs; and Enterprise, each of which meets weekly and functions like a cabinet department. All 12 members serve on the Resolutions Committee, which convenes bimonthly and more often when needed. (See the organization chart

on the following page.) Each of the six standing committees receives biweekly written reports from appropriate administrative departments, and official submissions to the executive board flow through the committees rather than directly from program administrators to the board or its chairman. This process, however, does not preclude informal advisory contacts between program administrators and the chairman on an as-needed basis, which enhance the effectiveness of the formal process.

The Programs Committee. The six-member Programs Committee reviews tribal programs, including the Employment and Training (CETA) and Planning departments, and serves as the OEDP Committee. As the OEDP Committee, this group meets weekly primarily to initiate and sponsor action for the analysis, planning, coordination and promotion of economic development activities on the reservation. In this capacity, the committee also maintains close interaction with the planning department. In its program review capacity, the Programs Committee oversees the operations of the various tribal programs, which has a positive effect on overall reservation development and program coordination. To ensure further program coordination and effective planning, the Programs Committee established the Planning Center, or Directors' Commission.

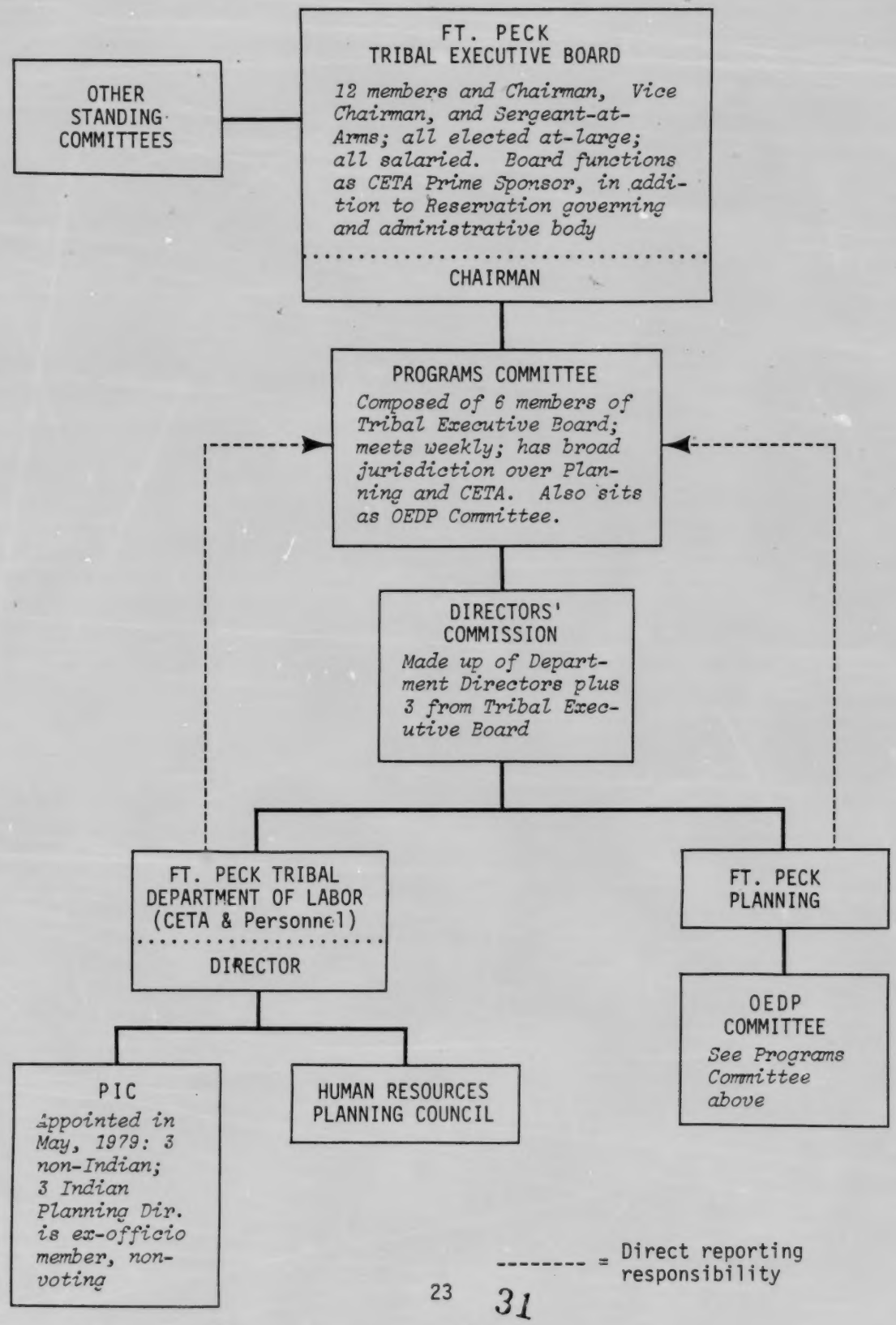
Program Directors' Commission. Formed in 1975, this commission coordinates programs at the administrative level. It meets monthly and has the largest membership of any reservation commission--17 members, including:

- Executive Board chairman
- HEW and Programs Committee chairpersons
- ANA Deputy director
- CETA, Day Care, Health, Headstart, Planning, Housing Authority, Highway Safety, Alcoholism and Transportation directors
- Tribal research analyst
- BIA program officer
- Community College dean
- Enterprise manager

Long-range goals established by the Directors' Commission to assist the Executive Board's development efforts include:

CHART I

POSITION OF DEPARTMENT OF LABOR (CETA TRAINING AND PERSONNEL OFFICE) IN FORT PECK TRIBAL GOVERNMENT STRUCTURE


FT. PECK
TRIBAL EXECUTIVE BOARD
12 members and Chairman, Vice Chairman, and Sergeant-at-Arms; all elected at-large; all salaried. Board functions as CETA Prime Sponsor, in addition to Reservation governing and administrative body
CHAIRMAN
OTHER STANDING COMMITTEES
PROGRAMS COMMITTEE
Composed of 6 members of Tribal Executive Board; meets weekly; has broad jurisdiction over Planning and CETA. Also sits as OEDP Committee.
DIRECTORS' COMMISSION
Made up of Department Directors plus 3 from Tribal Executive Board
FT. PECK TRIBAL DEPARTMENT OF LABOR (CETA & Personnel)
DIRECTOR
FT. PECK PLANNING
OEDP COMMITTEE
See Programs Committee above
PIC
Appointed in May, 1979: 3 non-Indian; 3 Indian Planning Dir. is ex-officio member, non-voting
HUMAN RESOURCES PLANNING COUNCIL
-------- = Direct reporting responsibility

1. To aid the board and tribal departments in strengthening their capabilities to plan for, deliver and evaluate comprehensive coordinative services to tribal members;

2. To determine and implement the most appropriate mechanisms for community participation in the planning, operation and evaluation of tribal programs; and

3. To develop for the Programs Committee and Executive Board a data base and information-gathering system designed to provide information on the status and needs of tribal members. The data base system will also provide information on current programs, research fundings and other studies relating to the needs of the two tribes.[1] The actual operation of the data base system occurs through the Fort Peck Planning Department.

The Planning Department. The Planning Department performs day-to-day planning functions. Funded by EDA, HUD 701 Comprehensive Planning, BIA P.L. 93-638, and the tribes, this department conducts economic development and community planning. Interacting with the OEDP Committee, it prepares the tribal OEDP. Finally, the Planning Department is responsible for generating the baseline data and studies needed for planning jobs, providing community services and improving the social and physical environment of the reservation.

Thus, there are in effect four economic planning entities at Fort Peck: the Programs Committee, also functioning as the OEDP Committee, the Program Directors' Commission, and the Planning Department. Further coordination between economic and human resources development at Fort Peck occurs through the efforts of the Department of Labor (CETA).

The Department of Labor (CETA Training and Personnel Office). An important resource in the reservation's economic development, CETA makes every effort to create jobs and provide relevant training opportunities for tribal members. The Department of Labor conducts planning for human resource development and runs all tribal employment and training programs, including CETA. CETA is also linked explicitly to overall tribal planning efforts by the director's inclusion on the Program Director's Commission and the department's accountability to the Programs Committee.

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1. Fort Peck Tribes OEDP (Fort Peck, MT: Feb. 1979), p. 5

CETA planning is conducted by a CETA Employability Team and a Human Resources (Manpower) Planning Council. The Employability Team meets weekly and includes the CETA director, the CETA programs coordinator, and a representative of the Management Information System. CETA employment roles are constantly updated to reflect changes in enrollee status and eligibility and to show needs of the various reservation business ventures and social service agencies. The tabulations are furnished to all reservation offices to insure maximum program coordination.

The Planning Council meets monthly. Set up in the spring of 1979, the council provides input to and coordination with the Department of Labor and other programs. The members include:

- Planning director and staff member
- Tribal Health representative
- BIA representative
- Headstart director
- Public School representative

Although planning councils are no longer formally required by DINAP, the Fort Peck Department of Labor staff feels that the council serves a valuable function and has retained the structure for future CETA operations.

What are the Key Elements of the Fort Peck Tribes Planning System?

- The Fort Peck tribes have been involved in formal community and economic development efforts for 15 years. Conscious of the need for mechanisms to plan and manage a wide range of programs and activities, they set up a variety of mechanisms such as boards, commissions and planning councils that have endured over time. The tribes have a strong commitment to community participation in the setting of tribal goals and priorities.
- The structure of the tribes' governing body, the tribal executive board, provides continuity, expertise, and an overall level of coordination and management to community and economic development efforts. Board members serve at least two years and are full-time and salaried, with full administrative as well as policy responsibilities. The latter includes board members chairing

and participating in a comprehensive group of functional committees. These roles are taken seriously. New executive board members are oriented carefully to reservation procedures and are given exposure to the workings of committee and departmental systems.

- There are clear lines of authority but also internal departmental autonomy. The direct line of supervision, authority and responsibility from the executive board to the program directors clearly defines roles and facilitates program planning and management. Within departments, program directors have considerable autonomy: day-to-day program workings operate without political interference, and only major decisions have to go to the executive board. The management style of the executive board and the chairman enhances efficiency but allows for innovation and diversity through all staff levels.
- There is an excellent system of formal and informal linkages through all levels of tribal government. The formal system coordinates economic and human resource development through direct departmental accountability to the Programs Committee, through department head participation on the Directors' Commission and through the planning director's participation on the CETA planning council. The various functional relationships also encourage informal information sharing.
- Planning--comprehensive, economic development, and human resources--is taken seriously at Fort Peck. The tribes' commitment to planning is evident in the operation of their planning department, funded by several outside sources as well as by the tribes; in the maintenance of the Human Resources Planning Council; and in the various interactions among tribal planning entities and the executive board and its standing committees.

Summary

Fort Peck successfully runs a wide range of government programs and a combination of diversified enterprises, including communally owned and operated enterprises and Indian-owned and non-Indian-owned entrepreneurial enterprises. The organizational structure of committees, commissions, departments and planning councils appears to be highly efficient in terms of achieving the best use of development resources. Such a structure clearly delineates policy, planning and day-to-day administrative activities and provides for planning and program coordination.

Some of the positive results of Fort Peck's planning efforts were seen in the reservation's receipt in 1978 of six NAESP grants, totalling over one million dollars, including programs in apprenticeship outreach, domestic fuel development and industrial park management. The jobs created and other benefits resulting from the operation of the planning system have provided the motivation to refine and improve on the coordinative structure and to generate the enthusiasm and support of tribal members necessary for future development successes.

THE SALT RIVER PIMA-MARICOPA INDIAN COMMUNITY'S INTEGRATED PLANNING & MANAGEMENT SYSTEM

Having engaged in long-term comprehensive planning for the past decade, the Salt River Pima-Maricopa Indian Community (SRPMIC) has implemented a variety of planning and coordination mechanisms. Over time these mechanisms have evolved into a rather complex and integrated planning system. At the hub of this Operational Planning System, a special office directs and coordinates all program and budget planning, with further review, approval and oversight provided by an A-95 Clearinghouse Review Committee. The tribe has also experimented with demonstration planning and coordination projects, such as the Integrated Grant Application/ Joint Funding Simplification Act process. Through the implementation of these mechanisms, the tribe has placed itself in a good position to identify and take advantage of development opportunities and to maximize the use of resources to attain tribal economic self-sufficiency.

Background

The Salt River Pima-Maricopa Indian Community (SRPMIC) was created by an executive order in 1879. The reservation contains over 49,000 acres and has approximately 2,300 enrolled members. The community is located 15 miles east of the Phoenix metropolitan area and is immediately adjacent to Scottsdale, one of the most affluent cities in the United States. Its terrain is varied, containing a large agricultural area, extensive sand and gravel deposits, a river area with recreation potential, and rolling desert land. The development potential for the latter area is limited due to the lack of water. Most tribal members live at the western end of the community, where there are approximately 15,000 acres of irrigated farm land.

Approximately 50-55% of the total reservation is comprised of small parcels of allotted lands. Due to fractionated heirship interests, the ownership of individually allotted lands has become complicated and difficult to resolve so that the land can be utilized to its best advantage. Most of the remaining land is in community ownership.

The tribe is traditionally an agricultural community. The labor force is primarily unskilled, due to a lack of education and training as well as other disadvantages and barriers typically confronting Native Americans. Although the reservation's proximity to a growing urban area offers diverse employment opportunities, most tribal members can obtain only unskilled jobs and, in any event, tend to prefer employment within their own community. Given these factors, unemployment and underemployment rates are high and far exceed those of the nearby metropolitan area.

The tribe is currently faced with the need to develop health, educational, cultural, recreational and housing facilities as well as the infrastructure to support community services and facilities. Also involved in a water dispute, the tribe is attempting to secure its water rights for future agricultural and community development.

Revenues to the tribe from leasing, sand gravel operations and the tribal construction company provide approximately one-third of the income necessary to operate the tribal government. The thrust is very strong to reduce tribal dependence on federal programs and to gear development efforts toward greater self-determination and self-sufficiency. The tribe also views economic development as the way to improve employment opportunities for its members and CETA and other federally funded training programs as the way to provide jobs, develop skills, and support tribal development efforts.

To date, SRPMIC has not been as successful as some other tribes in integrating CETA with overall development efforts but is aware of the need to improve the effectiveness of this resource. Fortunately, the mechanisms to accomplish this integration are in place in the SRPMIC planning system. And despite this current shortcoming, the tribe's process of implementing and adapting planning mechanisms offers valuable insights to other reservations concerned with comprehensive and integrated planning. The following sections present a history of SRPMIC's planning experience, describe the various components of their system, and include examples of some of their formats, guides, and planning schedules.

The History of SRPMIC's Planning Experience

As with other reservations, the scope of SRPMIC tribal governmental activity has increased dramatically over the past decade. In 1970 the tribe had one contract with the BIA and one grant from OEO. Planning was initiated in 1969 with the receipt of a 701 planning grant from HUD, which the tribe used to hire an outside consultant to prepare a tribal "General Development Plan." This effort was the tribe's first attempt at comprehensive long-range planning. Completed in 1971, the plan stressed land use and general development and recommended leasing tribal lands for development by real estate speculators in nearby Scottsdale.

In 1972 the tribe hired its first planning director to implement the "General Development Plan" through the new Office of Management and Program Development (OMPD). Although its main focus was land use planning, this office also addressed both physical and non-physical program and project planning and coordinated the Tribal Budgeting System (a detailed annual budgeting exercise for all tribal departments) and the Capital Improvements Budget. At this time, the tribe also began extensive contracting with the Bureau of Indian Affairs.

In the 1973-74 period, the tribe made its first attempt to integrate planning efforts when it decided to participate in an experimental federal domestic assistance program, the Integrated Grant Application (IGA) (later renamed the Joint Funding Simplification Act (JFSA) of 1974 (PL 93-50). The IGA/JFSA is a grant application approach which attempts to package a reservation's multiple grant project requests into one grant application when more than one federal agency is involved. The IAG/JFSA format seemed a good way for the tribe to go beyond a year-to-year grant application process and to integrate all tribal planning efforts. SRPMIC recognized that in order to assemble a comprehensive, realistic package, significant preliminary planning was necessary. At that time the planning director went to each tribal department for plans and assembled one large proposal with a five-year plan.

In 1974-75 SRPMIC submitted its first IGA. However, over time more and more of the community program planning was being done by the Community Action Program (CAP), while OMPD focused on physical development. The CAP had been funded since 1965 by the Office of Economic Opportunity (OEO) and, later, by the Office

of Native American Programs (ONAP). By 1975 the CAP office was doing a large part of the program planning for OMPD, so that when the OMPD director left, the community council decided in 1976 that the CAP office should take over OMPD. ONAP encouraged this move, since it was in line with its efforts to support tribal capacity building. The community council then created a separate planning department to deal with land use planning and development. The service programs, which were funded by OEO, were spun off to the Administration and the Community Services departments. OMPD was defined as the arm of tribal administration specializing in overall tribal planning and systems.

In July 1976 the SRPMIC government initiated its first internal operational planning exercise, the Operational Planning System (OPS). The goals in setting up OPS were

1) to integrate all program and system planning into one design to promote comprehensive planning;
2) to plan a thorough budget process to optimize management of all resources; and
3) to provide a method for coordinating key activities with key dates in all programs to eliminate losses from non-tracking.

Implemented to track all phases of planning and development, this system produces an internal planning document and an external document to support the community's interface with federal, state and local agencies.

Under OPS, OMPD integrated for the first time the planning and budget systems for all programs, including tribal programs and BIA grants and contracts, into one year-long planning process running from October 1 through September 30. Thus, plans and budgets were submitted to OMPD at the same time. This integration was initiated in part to fit all program activities into the IGA/JFSA format.

OMPD then prepared a "Planning and Budgeting Manual" to assist department heads and planners in preparing their plans and budgets. In FY 1977 operational plans were prepared for 21 functional areas within different tribal departments (economic development, education, employment, health, housing, etc.). Those depart-

ments responsible for more than one of these functional areas prepared more than one plan. Once the plans and budgets were completed, OHPD reviewed and assembled them into an "Operational Planning Document," submitted to the community council for its approval. Following further review, comment and revision, the plans and budgets became the basis for developing applications and proposals for funding in the upcoming fiscal year and served as guidelines for running those projects and programs that were funded.

During this time, SRPMIC also received approval from the Federal Office of Management and Budget (OMB) to establish an A-95 Clearinghouse to bring an additional level of coordination and review to the planning process.

While producing a series of integrated plans and budgets was valuable, several problems were encountered during the first year of operational planning. Two were the lack of an adequate and consistent data base and a process to maintain the data collected. (In 1978 SRPMIC began an update of the "General Development Plan," in part to address these problems and to provide a comprehensive set of overall goals into which operational plans would be tied.) Some departments had difficulty defining goals and objectives or in producing an operational plan. There was little coordination between departments in the development and operation of plans and projects, often resulting in gaps or duplication in services, and plans often were not tied to budgets, making it difficult for department heads and administrators to monitor the progress of grants and contracts over time. The community government has sought to address these problems through the refinement of OPS over time. This has primarily been accomplished through changes brought about by OMPD, both in the support it provides to departments and by the coordination and integration activities performed by OMPD.

In 1978 the tribe created a position of Special Projects officer to identify program areas and potential projects and funding sources outside the area of responsibility of individual department directors. Located in OMPD, this officer would also assist in the preparation of proposals and applications for special projects, including those for other departments.

The JFAapplication process was refined considerably. Whereas the tribe had previously submitted both a pre-application and a large full application, it now streamlined the process to a pre-application, with a full application being prepared only for those programs that received a tentative response from funding agencies. OMPD also revised the "Planning and Budgeting Manual" to enable tribal departments to define more clearly their goals and objectives.

OMPD continues each year to refine the implementation of OPS, building on the previous year's experience and on the goals and aspirations of the community. To understand more clearly how OPS is put into practice, the following section describes how SRPMIC is organized to conduct its planning, budgeting and development activities, how OPS operates on a day-to-day basis, the problems encountered over the course of time, and how OMPD, as the office responsible for the implementation of OPS has addressed those problems.

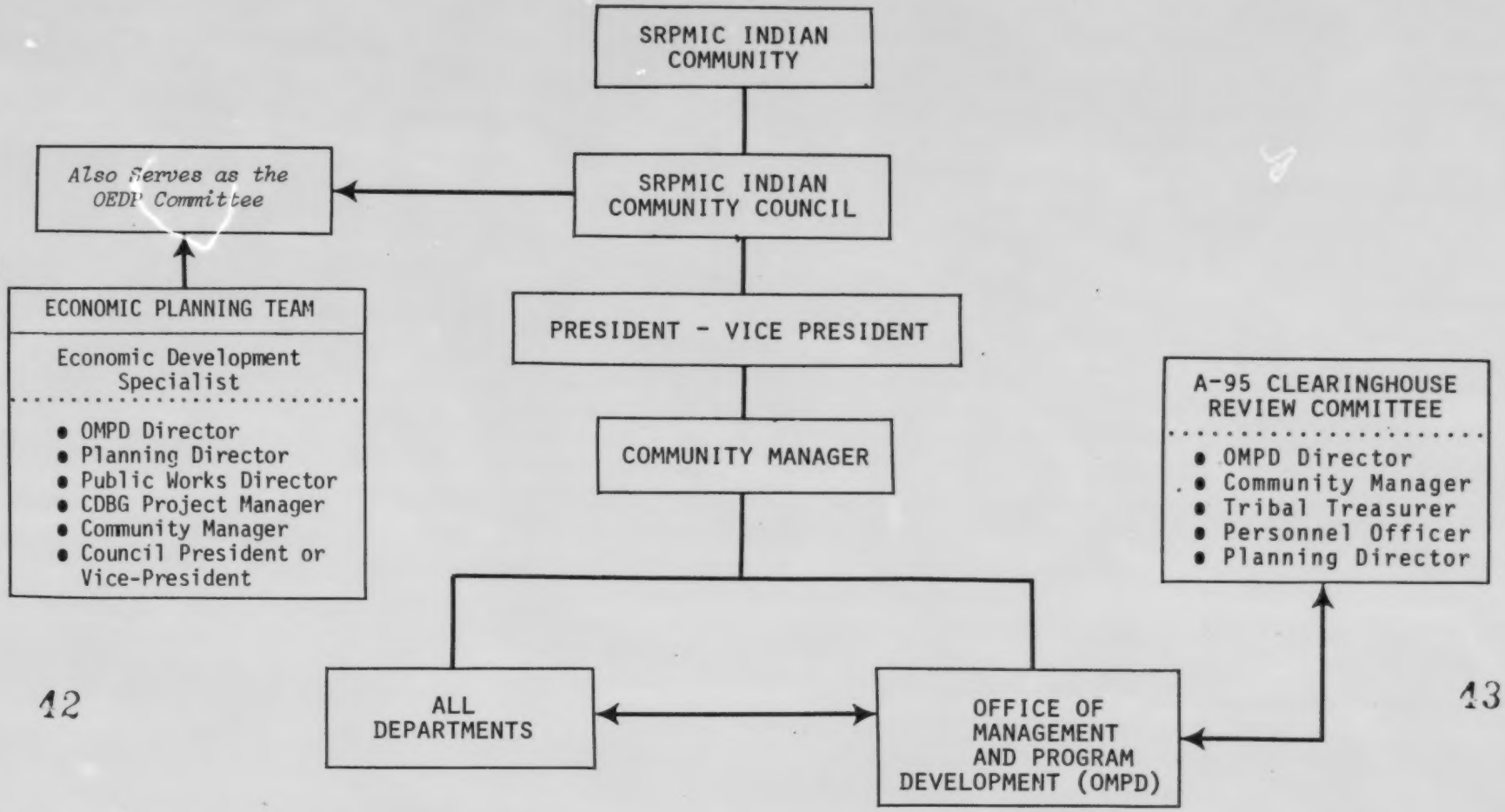
The Organization of SRMPIC to Implement OPS

Chart II shows how SRMPIC is organized to implement its Operational Planning System. The community council is composed of nine members, elected for four-year terms, who represent the community at large. The community itself also actively participates throughout the year in a series of workshops to review community goals, departmental plans and budgets, and program activities. The council president and vice president, who serve as full-time, paid community employees are responsible for directing overall community affairs. A hired community manager administers the day-to-day operation of community activities, including all departments, which prepare program plans and budgets and implement them once funded.

OMPD, in addition to its departmental responsibilities for certain activities and programs (such as the JFSA and CDBG applications) fulfills a broader role similar to that of the federal Office of Management and Budget (OMB): it reviews, monitors and coordinates all community planning and budgeting, grants and contracts applications, and program implementation. In this role, OMPD provides support and guidance to all other departments as well as to the community council. Thus, within the overall tribal organizational structure, the OMPD is charged with carrying out the OPS.

CHART II

ORGANIZATION OF SALT RIVER
PIMA-MARICOPA INDIAN COMMUNITY TO
IMPLEMENT OPERATIONAL PLANNING SYSTEM (OPS)



The A-95 Clearinghouse Review Committee--comprised of the community manager, the OMPD director, the community treasurer, the personnel officer and the Planning director--serves as a formal overseeing and review body. (This committee is also known as the Management Review Committee). Additional coordination for planning specifically oriented to economic development is achieved through the OEDP Committee, composed of the community council members assisting the OEDP Committee in the preparation of the OEDP and responsible other economic planning activities is an Economic Planning Team, led by the economic development specialist (EDS--the EDA-funded planner) and comprised of the directors of OMPD, Planning and Public Works; the CDBG project manager; the community manager; and the council president or vice-president, as available.

The Operation of OPS

The planning period covers one year and officially runs from October 1 through September 30. Within this time frame, the operational planning system breaks down into three phases (see Chart III):

1. The first phase, which lasts approximately three months starting October 1, involves the approval of departmental program goals and the drafting of program plans, narratives and budgets. This results in a draft Planning and Budgeting Document.

2. The second phase consists of:
   --the community council's review and departmental revision of the draft Planning and Budgeting Document, and
   --the preparation of BIA plans and budget projections for the following fiscal year (PPBE), grant and contract applications, and the OEDP.

3. The third phase consists of :
   --OMPD planning for next fiscal year's OPS implementation, and
   --program performance measurement and evaluation.

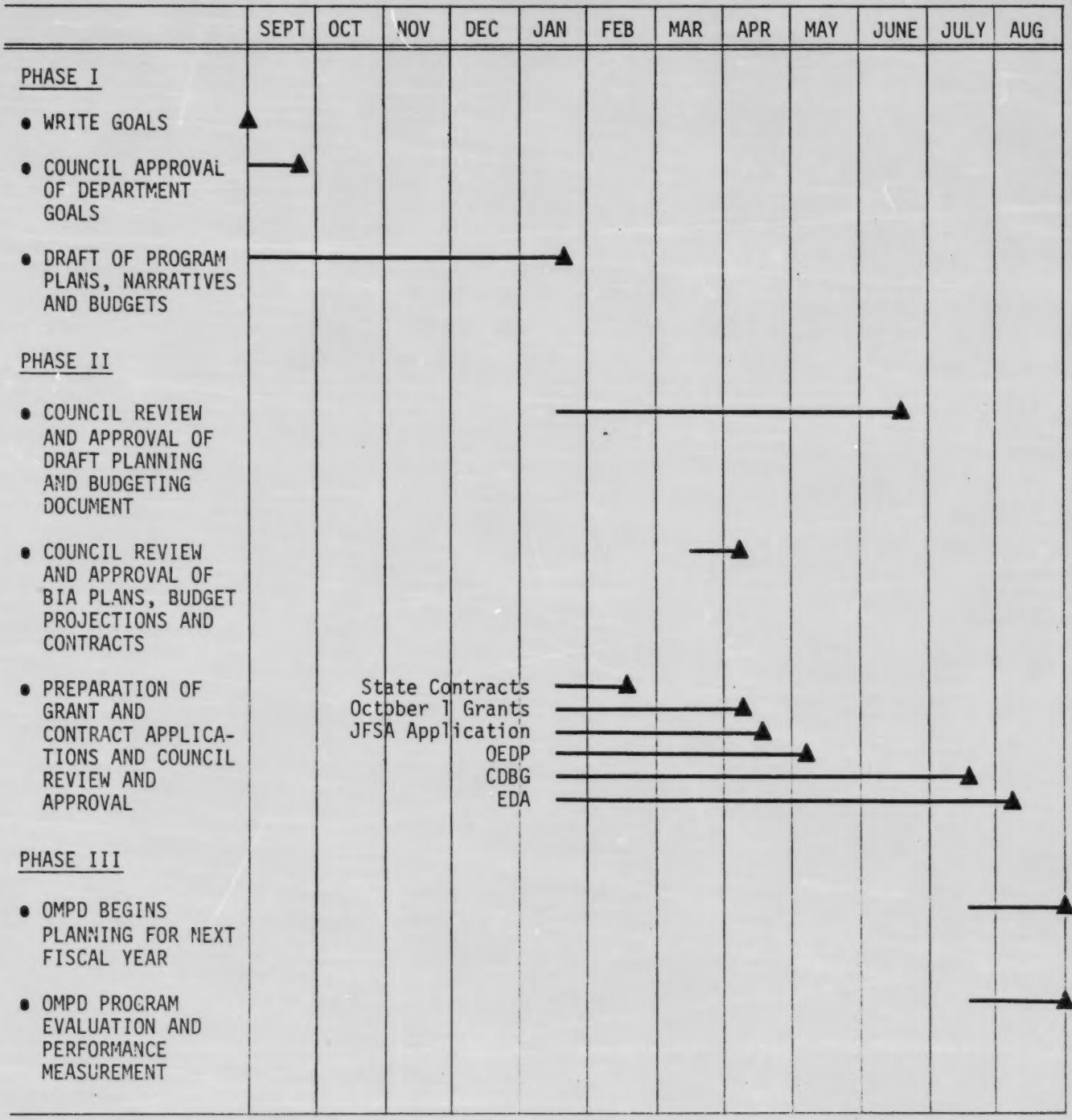
Each department carries out each of the first two of these phases for all programs under its jurisdiction. Throughout this process, the departments are expected to solicit the input of as many staff and community members as feasible so that the plans reflect community needs.

CHART III

SRPMIC PLANNING AND BUDGETING

TIME AND PHASING SCHEDULE

SRPMIC PLANNING PERIOD



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Phase 1. The planning and budgeting phase is carried out through a series of eight steps as outlined below.

Step 1--*Write Program Goals.* Shortly before the beginning of the community fiscal year, the department draft goals for each program under their jurisdiction. (See Appendix B-1 for sample goal statement).

Step 2--*Approval of Goals.* Beginning October 1, the council reviews and approves departmental program goals for consistency with overall community goals.

Step 3--*Kick-Off Meeting.* Approximately three weeks after the start of the fiscal year, the director of OMPD has a "kick-off" meeting with all department heads to review the previous year's activities and program accomplishments. Decisions are made about which programs to continue and which to discontinue or change.

Step 4--*Manual Distribution.* OMPD provides each department with a Planning and Budgeting Manual, including a format and guideline for defining departmental goals, objectives, activities to achieve objectives, and performance measurements. (See Appendix B-2 for sample format.)

Step 5--*Completion of Plans and Budgets.* The departments have 45 days to complete their plans and budgets. During this time, OMPD staff meet with each department to go over the manual and provide additional assistance as requested.

Step 6--*Management Review.* When the plans and budgets are completed, the Management Review Committee (with the same membership as the A-95 Review Committee) meets to review the plans and recommend any necessary changes.

Step 7--*Departmental Revisions.* The plans and budgets are sent back to the departments, and OMPD staff meets with the department heads to review budget justifications. Departments have 45 days to make the necessary changes and resubmit the plans and budgets to OMPD.

Step 8--*Preparation of Planning and Budgeting Document.* OMPD examines how different departments and programs affect each other, integrates their activities plans, and prepares an overall Planning and Budgeting Document, which includes all program plans and budgets.

Thus, by the third week in January, Phase I of OPS has yielded a draft document of all program plans and budgets that can support the development of full applications to funding sources, regardless of deadline. Since the format for the plans conforms with guidelines for proposal submission, application requirements are accommodated but do not disrupt the community's internal planning process.

Phase 2. Of the two concurrent processes that characterize Phase 2, the review, revision, and final approval of the Planning and Budgeting Document picks up from the final step of Phase 1, proceeding through four more steps:

Step 9--*Council Review.* The community council, which receives the Planning and Budgeting Document by the end of January, reviews, approvals, and recommends changes in it.

Step 10--*Final Revisions.* Where necessary, the plans are sent back to the departments, changed, and resubmitted.

Step 11--*Final Management Review.* The Management Review Committee reviews and approves the document in May and June.

Step 12--*Final Council Approval,* by July 1.

The second Phase 2 process--the preparation of grant and contract applications--is carried out through 11 planning subsystems organized according to the requirements of specific contracts and grants, federal governing agencies, and the community itself:

1. Planning and Budgeting (overall community)
2. IGA/JFSA (Joint Funding Application)
3. Community Development Block Grant (CDBG) Application
4. Economic Development Specialist Grant (EDA)
5. Grants with Program Year Starting October 1--(EDA, Headstart, ANA, LEAA Youth Services, Civil Service Commission, 93-638)
6. Grants with Program Year Starting July 1--(IHS; ONAP-Pi-Copa (ANA)--Construction Co., Office of Education-Title V, Parts B and C)
7. Contracts (93-638 and Buy-Indian)
8. Contracts (state of Arizona)

9. General Revenue Sharing

10. Overall Economic Development Plan (OEDP)

11. Program Planning Budget and Evaluation (PPBE--for the BIA)

OMPD is responsible for implementing subsystems (1), (2), (3), (9), and (11). The remaining departments follow one or more of the other subsystems as appropriate for the particular program(s) that they administer.

Operationally, these subsystems vary depending on departmental functioning and the fiscal calendar of its grants and/or contracts. Therefore, OMPD provides the departments with guidelines in its Planning and Budgeting Manual and a specific planning schedule for each subsystem. The individual planning schedules, along with other Phase 2 activities, are integrated into one large chart displayed in OMPD so that all departments, the council, and community members can apprise themselves of key dates and activities and see how the subsystems tie into the overall planning process.

SRMPIC's Department of Planning and Land Management affords a good example of the operation of several planning subsystems within OPS and of economic development planning at Salt River. The Planning Department has three branches: planning (physical and land use), economic development and land management. The Economic Development Specialist (EDS), funded by an EDA planning grant, is responsible for economic development planning, preparing the OEDP, and preparing EDA project grant applications.The OEDP and the EDS planning grant each have their own planning subsystems (10 and 4). Other EDA grants the tribe applies for conform to the planning subsystem for grants in general with the program year starting October 1 (#5). The planning schedule for this subsystem is attached as Appendix B-3.)

In all planning subsystems, a work activity plan for each program area is developed to assist department staff in understanding the planning sequence and working through the definition of program goals. Some work plans are more detailed than others, depending on the complexity and number of activities to be handled. For example, the work activity plan developed by the EDS to encompass the various program areas for which he is responsible is quite detailed and

covers two years. (See Appendix B-4.) Other work activity plans within the planning department are simpler.

Although the details of each subsystem work plan will vary in order to meet different requirements, all departments will basically follow the same series of steps, as outlined below, in the preparation of grant and contract applications:

Step 1--*Pre-Application Procedures.* Department staff identify and fulfill specific grant or contract requirements necessary to complete before starting application. For example, some departments must contact federal agencies to determine submission requirements; others (e.g., for the CDBG application) must schedule meetings with the community to obtain its input.

Step 2--*Application Planning.* Develop a plan and make assignments for the preparation of a project or program application.

Step 3--*Application Preparation.* Drawing from their individual program plans and budgets contained in the draft Planning and Budgeting Document, staff prepare applications for federal and state grants and contracts.

Step 4--*Management Review.* The Management Review Committee reviews individual program applications and recommends changes as necessary.

Step 5--*Departmental Revisions.* The staff within the departments responsible for the particular program application revise the application.

Step 6--*Council Approval.* The council is briefed on the particular application, reviews it for any changes, and makes the final approval.

Step 7--*Application Submission.* Applications for state and federal grants and contracts are submitted to the appropriate agencies between mid-February and August.

Steps 2 - 7 of the grants and contracts application process take place over the same time frame as Steps 9 - 12 of the planning and budgeting process. Thus, draft plans and budgets are finalized as departments are gaining a better idea of which projects and programs might be funded. As a result, the plans and budgets can be adapted to the needs and realities of applications and represent more realistic guidelines for project and program implementation and management.

Phase 3. During Phase 3, OMPD begins planning for the implementation of OPS in the next fiscal year. Also during this time, OMPD has begun to close the loop of the planning cycle--to measure and evaluate and measure program performance. This involves measuring what goals and objectives were achieved and how well activities were performed by both individual staff and departments over the past fiscal year.

This process provides much valuable information for planning and program management in the upcoming year. Program performance measurement and evaluation is the latest addition to the OPS system and requires substantially more improvement, as discussed in the following section.

Problems Encountered over Time and How SRPMIC Addressed Them

The Operational Planning System (OPS) has been refined continually as SRPMIC has expanded the scope of its government and development activities and designed and tested new techniques to meet the challenges of growth. With few external planning examples and models at their disposal, system development evolved primarily from an internal process of recognizing and addressing the need for coordinating community activities and initiating a more long-range planning system. There were several false starts or situations where the community was hampered by lack of technical assistance, adequate information, and experience. The changes in OPS are thus the result both of experience and responses to growth and change in community government operations, development opportunities, and funding sources.

A key lesson is that it takes time to put into operation the types of planning mechanisms included in SRPMIC's OPS. Planning, to be successful, must be process-oriented and flexible. The growth of the system must deal with development of the staff responsible for implementing the system.

Each year of planning and budgeting exercises, OMPD has analyzed the strengths and weaknesses of the OPS approach and sought to modify its system and implement changes where necessary. These changes, some of which are still in the design and early implementation stages, have addressed the following areas:

- overcoming department resistance to planning and increasing OMPD support to departments;
- need for further intra- and inter-departmental coordination;
- gaps in program areas;
- lack of human resource planning; and
- measurement of program progress, evaluation of performance, and feedback.

OMPD-Departmental Relationships. Much of OMPD's charge has been to bring integration, uniformity and consistency to overall community planning efforts by providing guidelines, formats and technical staff support to the departments responsible for individual program planning. As with other community entities, there are often departmental deficiences at the middle-management level due to lack of training and technical support. In addition, some of the department heads have resisted attempts by OMPD to engage in formalized planning, partly because they feel they do too much planning and not enough implementation, and partly because they have not gotten enough direction from OMPD. Thus, over time OMPD has increased the level and scope of support provided to the departments.

Two of the changes OMPD has made over time are as follows:

- When department heads and staff first began to develop program plans, they had difficulties defining goals and objectives and, consequently, with developing the narratives, work plans, and program activities based on those goals and objectives. As a result, some departments did not produce work plans. For FY '81, OMPD developed a more explicit format for the work plan, the narrative and the budget.
- Originally, when the "Planning and Budgeting Manual" was distributed to each department, directors and staff were left to read through it and implement it on their own. If there were questions or difficulties, the departments were to approach OMPD for assistance. Having discovered that departments were reluctant to do that or unable to define what type of assistance they needed, OMPD realized that its staff would need to take a more active role in providing departmental

support. For the past fiscal year planning and budgeting process, OMPD staff met with each department individually to go over the process step-by-step, thus identifying problem areas more quickly and providing assistance on a more in-depth and timely basis.

Intra- and Inter-Departmental Coordination. In addition to enhancing program integration by OMPD providing additional technical support and direction to individual departments, there was also a need to improve both intra- and inter-departmental coordination. This need arose from the increasing complexity of federal program requirements, the expansion of government operations and the scope of services and size of staff, and the continual desire to place internal community goals before the demands of outside requirements. OMPD developed several types of coordination mechanisms to increase information sharing and facilitate program integration.

- *OMPD staff meetings.* Every Monday staff meet to review its OMPD activities, identify areas of needed support to other department, track tribal planning and developments efforts, and define activities to bring about desired departmental coordination.
- *Department head meetings.* The first and third Tuesdays of each month, department heads meet to share information, coordinate resources, and avoid duplication or gaps in program delivery and development activities.
- *Critical path chart.* A large chart, covering one wall of the OMPD office, brings together in one graphic display all the separate planning processes and activities along a 15-month plan of action accessible to all community administrators and staff. The chart will eventually be expanded to cover thirty-six (36) months.
- *Staff retreats.* OMPD holds periodic retreats for staff to discuss program goals and objectives, define departmental directions, review performance, share information, and obtain feedback. Equally important, retreats foster a sense of staff support and cohesion, which encourages better coordination and information sharing, both formally and informally, through the course of the year.

- *Computer printouts.* All programs are on computer providing each department with a monthly printout of budgets, expenditures to date, etc. for determining their performance to date, whether they are over-budgeted, under-budgeted, etc., and for making the necessary adjustments in program management. The computer feedback also provides OMPD with another management tool for monitoring each program.

Eliminating Gaps in Program Areas. The planning subsystems accurately identify application deadlines for most grants and contracts and allow for the preparation of project and program plans that conform to the specific requirements of individual funding sources. Occasionally, funds are made available through special programs, discretionary allocations, etc., (such as EDA, local public work projects, and DOL's Native American Economic Stimulus Program) that fall outside the normal grant contract application schedule. SRPMIC discovered that its resource identification and application review process was too cumbersome to respond quickly to special projects.

In 1978 OMPD created the position of Special Projects Coordinator, whose primary role (beside preparing the CDBG application) is to identify projects that fall outside the planning schedule and to either prepare the applications himself or notify and assist, if desired, the appropriate department heads in preparing applications. These applications are also reviewed by the A-95 Clearinghouse Review Committee, so that integration is still ensured, but the application preparation time is streamlined and a greater measure of flexibility added to the planning system. The coordinator also serves a valuable function in that he enhances the capability of OMPD to identify resources and engage in integrated planning.

Human Resources Planning. This area has been weak for several reasons. The staff of the Personnel Department (CETA) is small and basically performs administrative work. There are no planners on staff. The determination of projects and priority setting for the allocation of CETA slots is arrived at primarily by the community manager, who assesses needs based on requests submitted to him by the department heads. Therefore, the CETA staff does not usually

participate in project planning and development or liaison with other departments but, rather, processes trainees after the placement decisions are made by the community manager. The end result is that CETA is not utilized for economic development. An effort will be made by the community manager and OMPD to develop the capacity of the CETA/Personnel Department to assume its own planning and budgeting functions and to participate more in the overall planning process. The Economic Development Specialist (funded by EDA) hired in 1979 has taken a more active role in human resources planning than previous EDSs and developed SRPMIC's Title VII PIC by-laws. In the future, one would expect to see a greater linkage between the Personnel Department and the EDS, and to see human resources planning considerably more integrated into the overall planning and budgeting process.

Program Performance Measurements, Evaluation and Feedback. Another area needing improvement is the performance measurement and feedback loop (of Phase 3) of the planning process. Although departments define their goals and measures of program progress, there has been no formal mechanism for OMPD or community administration to evaluate how well and to what degree goals had been achieved and the relative value of particular programs within each department. Department heads have also had difficulty developing performance measurements. Some department staff have complained that OMPD provides them too little feedback about both staff and department performance and inadequate assistance in developing performance measurements.

OMPD is seeking to build in both a program evaluation mechanism and a feedback loop. In 1979, OMPD initiated a reporting process wherein each department has to prepare a written report on its accomplishments. The written reports are used as a management tool. OMPD also meets quarterly with the community manager and each department head to discuss actual measurements of performance strengths and weaknesses. Though some resistance persists OMPD continues to encourage department heads to define and relate measures to their program objectives as a prerequisite to the implementation of more subjective evaluation techniques. Performance measurements and evaluation are, thus, subject to ongoing discussion and refinement.

Evolution of Other Major SRPMIC Planning Mechanisms

The A-95 Clearinghouse Review Committee and the IGA/JFSA process have also evolved over time to address problems occurring in the implementation of OPS or to enhance its effectiveness.

The A-95 Clearinghouse Review. Though tribes are not required to set up clearinghouses and few have done so, SRPMIC identified the opportunity to set up a formal coordinating mechanism and has found it to be a useful internal planning tool. The principal purpose of SRPMIC's A-95 Clearinghouse/Management Review Committee is still to serve the community government in reviewing and overseeing all projects. However, in 1979 a management consultant suggested that the body be used as a personnel advisory council to provide a broader perspective to the Management Review Committee. This added function will be incorporated in the near future. (See Appendix A for a detailed description of the general A-95 Clearinghouse Review process.)

The Integrated Grant Application/Joint Funding Simplification Act Process (IGA/JFSA). Initially, the IGA/JFSA process was an experimental domestic assistance program. SRPMIC adopted this approach to bring increased integration and coordination to planning its requests for federal assistance. This effort was an explicit attempt to overcome the lack of federal agency coordination and consistency in the delivery of resources and the tendency of community programs to "run off in different directions, building little empires with not central direction."

The way the joint funding approach is supposed to work is that a tribe submits a single application to the federal regional council, where a lead agency, such as HEW, is established and a federal representative appointed to serve as a liaison between the participating federal agencies. The agencies review the application, and those that decide to participate in the joint funding project feed their funds into a central pool. (See Appendix A for a more detailed description of Public Law 93-510, the Joint Funding Simplification Act, and a step-by-step presentation of how the joint funding approach operates at the tribal and federal levels.)

When the tribe first adopted joint funding, the staff from each community department went through the Federal Domestic Assistance Catalogue which provided information on program eligibility only, not on the availability or likelihood of funding. Each department then prepared plans for the programs and projects under its jurisdiction. Once these plans were gathered together, the community invited representatives from the Region IX Western Federal Regional Council (WFRC) to review its application. The community held a three-day session to present its program to the federal participants in the IGA/JFSA and to secure commitments for project funding. Although SRPMIC received verbal commitments for 18 projects, ultimately funding came through for only three--which probably would have been funded without going through the IGA/JFSA application process.

For several years, SRPMIC went through a lengthy application preparation process, submitting a full application for all planned projects. The federal agency response was disappointing, to say the least. Several federal agencies refused to participate in the joint funding process, telling SRPMIC to submit a separate application. Although recognizing the value of the internal planning exercise, the community council became increasingly frustrated at the amount of time and effort expended to go through an exercise in which most federal agencies would not participate. In addition, the community was inexperienced in the art of identifying beforehand those projects that would lend themselves to joint funding.

In FY 1979 the community council decided to develop project plans as usual, coordinating the General Development Plan, the OEDP, the Health Plan, Education Plan, etc., but submitting a pre-application--that is, a shortened narrative for each project--rather than a full application. Federal agencies would then signal those projects most likely for funding, and Salt River would submit a full application only for those projects. Once again, however, the joing funding process for FY 1979 yielded a disappointing response and SRPMIC considered dropping out of the joint funding process.

At that time, SRPMIC was asked to make a presentation on its joint funding planning process to the deputy director of Intergovernmental Affairs of the Office of Management and Budget. The deputy director indicated that the problems with

the process were at the federal end, especially as several agencies were not complying with the intent of the legislation by requesting separate applications. Administration for Native Americans (ANA), the principal funding source for the operation and support of OMPD, also asked the community to reassess its participation in the joint funding process and offered to help SRPMIC secure inter-agency agreements for multiple project funding and avoid the cumbersome tool of JFSA. The community was also strongly encouraged by the WFRC to continue its participation for a while longer. By spring of FY 1980, Salt River had modified its joint funding planning process once again, submitting to WFRC a shortened pre-application, a summary document known as a "letter of intent."

In spite of the problems with JFSA, Salt River has decided that for the time being it serves internal planning well: it forces the community to come together and assess how plans already developed fit together and how sources of funding can be leveraged. At the heart of joint funding is comprehensive planning; for Salt River it is an excellent mechanism for effective planning and administration of federal resources--a critical prerequisite to eventual community self-sufficiency.

What are the Key Elements of the SRPMIC Planning Process?

- The SRPMIC planning system is based on the overall goal of attaining economic self-sufficiency, with three fundamental premises:
  --that long-range community goals guide shorter-term program and project goals;
  --that development goals and priorities be dictated by community needs first and external funding requirements secondarily; and
  --that internal programs and projects be planned and implemented so as to identify and maximize the use of scarce resources.

  These premises have guided community government and department staff in their development and implementation of several innovative mechanisms, subsystems and an operational planning system that facilitate coordination and integration at several levels. They have been very resourceful in reaching beyond the reservation to find and adapt appropriate system components from federal, state and local planning models as well as in developing its own models.

- Critical to the successful execution of the community's Operation Planning System (OPS) was the creation of an office specifically mandated to perform review, monitoring, coordinating and support functions for the system. The Office of Management and Program Development (OMPD) has provided excellent support in community planning, budgeting and program implementation to both the community council and departments. OMPD has also worked continuously to review and analyze the strengths and weaknesses of OPS, building on the strengths and instituting changes to address the weaknesses.

- The structure of OPS fosters program integration and coordinated development toward long-range community goals as stated in the five-year development plan. That structure is characterized by a three-phase annual planning process and coordination mechanisms at several levels of community administration. During the first phase, before any grants or contract applications are prepared, all departments engage in a three-month planning exercise to develop short-term goals and draft plans and budgets based on the same data base (to ensure overall consistency). Phase 2 preparation of grant and contract applications, drawing from and prepared concurrently with the finalization of draft plans and budgets, thus incorporates the goals and priorities of the community as defined during the first planning phase. The third phase, program performance measurement and evaluation, will provide information important to improving future program planning and implementation. Coordination mechanisms include OMPD, the A-95 Clearinghouse/Management Review Committee, the community council review process, community participation, the Integrated Grant Application/Joint Funding process, and a wide variety of other coordination techniques implemented within the larger mechanisms.

- The community council and administrators have made a strong effort to eliminate politics from the planning and programming of resources. The council delegates community administration to a manager rather than retaining that responsibility or vesting it in another political body. Program planning and development is subject to an entirely open process. And, the council adopted personnel policies and procedures, which depoliticized hiring and firing and gave security to community staff.

- Continuity in community government and staff has been critical to efficient planning. The 1970 community constitution increased council terms to four years, which, according to observers, was instrumental in providing political stability over time. Such stability creates a favorable environment for planning and system development. Staff continuity, fostered by the adoption of personnel policies, has allowed for capacity building from on-the-job experience and for planning system improvements as staff learn more each successive year.

Summary

The SRPMIC, like the other two tribes discussed in this chapter, has had a strong commitment to and lengthy experience with planning. The community government focuses strongly on putting community needs before all others and increasing its ability to control and guide development. In particular, it has sought to minimize the negative effects imposed on the community by the goals, guidelines and requirements of outside funding sources. A planning system with clearly laid-out steps and requirements is seen as the best way to define community needs, to set both short and long-range goals, and to select development priorities.

The planning system developed by SRPMIC creates an internal consistency necessary to identify resources and develop program and projects to meet those goals. The coordination brought about by the SRPMIC planning system fosters the integration of resources, inter-departmental support, and the reduction of gaps or elimination of duplication in resource use. It also provides the government with the overview and information necessary to manage overall community development.

The SRPMIC planning and management system, as with all good systems, is structurally flexible and adaptable to change, especially as a result of the lessons gained from past experiences, and to take advantage of development opportunities. The system encourages the pursuit of funding based on a rational effort to address top priorities first, reduces the probability for error, and allows a greater potential for orderly and controlled growth.

Although the planning system is not at present CETA focused, it does provide a good model for a better use of CETA resources to support economic development in the future.

Finally, the SRPMIC government sees the planning system as a means to increase its ability to obtain development resources. Community administrators also hope that by developing the capacity to plan for and manage current resources, they will be better able to manage and direct future development, especially once self-supporting economic development projects are in place and the community is less dependent on federal resources.

3. Some Suggested Approaches to Planning and Coordinating Reservation Economic Development

We have examined three excellent planning approaches developed by tribes and consortia to integrate human development resources with economic development resources: CETA-initiated coordination; committee systems, and an integrated planning and management system. These three types of planning approaches are characterized by a variety of coordinative mechanisms operating at several different levels: within individual departments, between departments, and at the oversight level.

Despite differences in the structure and operation of their planning approaches, the tribes share several similarities:

- relatively lengthy experience (10 years) in the operation of a long-range planning process;
- continuity in staff, political stability, and minimal political interference in planning;
- a philosophy of using resources most efficiently to achieve long-term economic development and employment goals;
- a strong commitment to a planning system; and
- extensive planning coordination between and within departments.

In short, these tribes have recognized the value and reaped the benefits of using a planning system to achieve long-term economic development and job creation.

Many Indian tribes and Native American communities are not, however, aware of the value of such planning or have been unable to implement such systems. The result has been that their economic development resources are not used to greatest advantage. Among those resources, CETA represents one of the most substantial and certainly the most stable; its underutilization is, therefore, most unfortunate.

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To achieve the fullest use of CETA requires the participation and cooperation of many key reservation development actors. CETA staff can, however, take the lead in initiating planning and program linkages as well as in reorienting the use of CETA from the short term to the long term. The following sections outline the ways in which CETA staff and other interested parties on the reservation can implement planning mechanisms to achieve resource coordination, both at the level of CETA program operation and reservation-wide.

CETA PLANNING AND COORDINATION

A reservation CETA program can undertake two major types of activities to enhance the short- and long-term use of CETA:

- Development of a human resources planning capacity, and
- Creation of linkages between CETA and other reservation and non-reservation training and development bodies.

Human Resources Planning

CETA requires each grantee to engage in a planning process for the development of its comprehensive employment and training plan. According to the most recent rules and regulations designed specifically for Native American grantees:

> This planning process shall involve consideration of the need for employment and training services, appropriate means of providing needed services and methods of monitoring and assessing the services provided to the extent deemed appropriate. The planning process shall provide the opportunity for involvement of the client community, service providers such as community-based organizations and educational agencies, the private business sector, tribal agencies, and other Indian and Native American organizations whose programs are relevant to employment and training services.[2]

Although a good start, the planning process described above is limited in orientation to the one-year grant application and program operation period. Especially

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2. Federal Register Rules and Regulations, 44, 216 (6 November 1979), p. 64335.

now that CETA legislation has been authorized to 1983, CETA staff should consider developing long-term employment and training strategies that point to 1983 and beyond. By so doing, grantees can better anticipate shifts in economic and community development funding and make appropriate adjustments, through planning, in their training and job placement efforts. The shift to a long-term planning focus also enables CETA to accommodate the lengthy implementation period that characterizes economic development projects. Unless CETA planning is organized to meet the staffing needs of projects that will not become operational for one or two years in the future, CETA's full potential to support reservation development will not be realized.

A CETA planning capacity can be developed by:

- Establishing staff planner positions;
- Establishing a human resources planning council;
- Creating community information projects; and
- Developing an economic development resources library.

Staff Planner Positions. The official creation of a CETA planning position(s) would relieve harried and overburdened CETA staff responsible for many other activities and allow for the proper conduct of planning. This staff person could also plan for the use of CETA over the long term, both internally and as part of the overall tribal planning process. The specific responsibilities of this position might include:

- Data collection, especially of community employment, training, and supportive service needs and of existing population and labor force information including unemployment and underemployment rates, participation in the work force, skill and educational attainment levels, median age of tribal population, and job areas in which members desire to be trained. (See handbook on Community-Based Data Collection.) Planners will need to identify and contact information sources and gather data sources and documents as follows:

  --The OEDP, from the Economic Development Specialist;
  --other tribal plans, including comprehensive plans, from other tribal planning, housing, land use and research offices;
  --proposals and applications developed by other tribal departments and programs;

--information on population and labor force characteristics from other tribal training and education offices and the BIA; and

--plans from local and state planning agencies whose actions affect development on or near the reservation.

- Survey and inventory job skills and other employee requirements of local employers, both on and off the reservation, and of proposed businesses as forecast by planning departments.
- Resource identification for reservation development activities. Sources include the Federal Domestic Assistance Catalogue, which lists all federal programs, and other manuals, newsletters and directories relating to economic development.
- Data analysis, identification of gaps in resources and information, and devising of alternative development strategies.
- Project planning, using information generated from prior activities and based on overall tribal goals and priorities; for projects for CETA only or in concert with other tribal departments, especially the planning department, the Housing Authority, and enterprise project managers.
- Comprehensive human resources planning, using information generated from prior activities and based on overall tribal goals and priorities.
- Development and maintenance of linkages with other tribal and non-reservation programs and agencies to integrate CETA with broader development activities and to obtain and share information about development priorities and resources. Methods for suggested ways to develop linkages are discussed later in this chapter.

If administrative funds are inadequate to establish staff planner positions, the CETA program should consider converting some job developer positions. To be most effective, planners should receive training in economic development planning and resource utilization.

Human Resources Planning Council. At one time required by CETA regulations, an employment and training planning council is an indispensible tool for effective reservation economic development. The human resources planning council provides a valuable forum for information sharing and for obtaining input about proposed

projects and programs. According to CETA rules and regulations, members of such a planning council may include:

> . . . representatives of the client community, community-based organizations, education and training agencies, the private business sector, organized labor and tribal and other agencies whose mission and services are relevant to the provision of employment and training services. The Planning Council may make recommendations on program plans, goals, policies and procedures and the need for and effectiveness of services provided. . . . The comments and recommendations of the Planning Council should be given careful consideration in the development of program plans. However, such comments and recommendations are to be advisory only and do not relieve the Native American grantee of the responsibility for the effective planning and administration of its employment and training program. The work of the Planning Council shall be closely coordinated, where applicable, with the work of any special councils created to provide advice on the conduct of youth programs under Title IV of the Act or private sector initiative programs under Title VII of the Act.[3]

The council should meet regularly, the frequency to be determined by the amount and timeliness of the business to be discussed as well as the other scheduling commitments of its members.

Community Information Projects. CETA can be meshed more closely with community needs when community members, tribal council members and the staffs of other departments understand the CETA resource and the role it can plan in tribal economic development. A series of community information meetings will provide CETA an opportunity to explain how CETA operates and what its funding can provide as well as to learn what people need and what types of projects they are interested in. Working with the tribal council to explain the importance of depoliticizing CETA project planning and trainee placement can free up CETA to meet long-term development objectives rather than short-term political ends. Meeting with other tribal employees to explain the potential uses of CETA can broaden the future use of CETA to support tribal economic development by overcoming CETA program isolation and subsequent lack of awareness discussed in Chapter 1.

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3. Federal Register. Ibid.

Economic Development Resources Library. CETA planners should consider establishing a library to maintain collected plans, references, and information resources. There are a variety of newsletters and periodicals providing current information about CETA and economic development that could also be included in such a library. (Appendix C includes a list of publications and references that planners may want to consider for inclusion.)

Creation of Linkages

This workbook has focused on the need to implement a planning system as a way to identify, obtain and manage in the best way possible the limited resources available to meet tribal development priorities. The creation of linkages--coordination--between the planners, program developers, and project directors as well as funding and other types of support agencies is the key to achieving the desired integration of program and project planning and development resources.

Coordination and cooperation between departments and agencies must run both ways. For their part, CETA directors and planners should either start or build on linkages to other planning and development entities. They can do so by bringing others in to the CETA human resources planning process via participation on the planning council (discussed above) and by extending linkages out from the CETA program. These linkages can extend to entities on and off the reservation.

CETA Linkages On-Reservation. CETA staff can initiate interaction with other reservation programs and projects either formally or informally. The important objective is to establish contact with others involved in economic development and maintain a mutually satisfactory process of on-going communication and information snaring. Linkages on reservations could be developed with the following individuals:

- EDA-funded planner
- other planners, such as health, housing, community development
- other training and education programs, such as the Indian Action Team (IAT) and the Tribal Work Experience Program (TWEP)
- tribal enterprise managers
- reservation social services and housing programs (both to provide supportive services to trainees and to identify community development and training and employment opportunities)

- BIA employment assistant officers
- tribal council and its committees
- tribal business or community manager
- private Indian- and non-Indian-owned businesses
- Tribal Employment Rights Office

In addition to creating linkages through meeting with individuals, the CETA director and/or planner should make an effort to gain membership on reservation or district-wide committees dealing with training and economic development, such as the OEDP committee or a body like the Project Directors Committee at Fort Peck.

CETA Linkages Off-Reservation. Developing linkages with training and economic development entities off the reservation may require more time and effort than on the reservation, both by virtue of distance and the reluctance of some non-Indians to become involved in reservation affairs. Many CETA programs have developed off-reservation linkages with great success, however. These linkages provide information about and additional resources to CETA, increase training and placement opportunities off the reservation, and increase the potential for tribal members to find permanent unsubsidized employment. Through these linkages, CETA staff may be able to provide input to non-reservation agency policy and planning decisions that ultimately may affect their reservation.

CETA staff should consider developing off-reservation linkages with the following kinds of training and economic development agencies:

- local community colleges, skills centers, and other educational and training institutions;
- economic development and other types of planning agencies, including local county and city planning departments, industrial development boards, regional councils of government (COGs), off-reservation OEDP committees, state planning agencies, rural development policy boards, etc.;
- Title II-B prime sponsors and/or Balance of State (BOS) CETA prime sponsors, discretionary governors' funds, urban Indian prime sponsors;
- foundations, churches and other philanthropic institutions;
- labor and trade unions;
- off-reservation businesses;
- other community-based organizations.

Again, these linkages may be formal or informal, and may occur on a regular or ad hoc basis. The important thing is to establish and maintain contact.

RESERVATION-WIDE PLANNING AND COORDINATION

We have at several points stressed the point that CETA cannot be used effectively in a vacuum and that the CETA program alone cannot effect comprehensive planning and program coordination. Other key planning and economic development entities must not only reciprocate but seek to include CETA staff, especially planners, in activities and on boards, committees, etc., focusing on planning and economic development.

As the discussion of the exemplary planning approaches illustrates, establishing a comprehensive planning system with appropriate coordination mechanisms is the best way to integrate human and economic development resources. Using a planning system is a complex and time-consuming process. Yet, as we have seen the benefits can be substantial. (See Appendix D for more on the planning process.)

To complement human resources planning, tribal administrators should consider implementing planning systems that integrate CETA into the broader picture. CETA directors and/or planners can be designated to participate in a:

- Committee/Cabinet System, generally composed of key tribal administrators and program directors representing major tribal departments, programs and activities, including CETA and Planning. The OEDP committee is especially critical, since it requires labor force information and data about the availability and size of training and employment resources for planning purposes. If the tribal council is the OEDP committee, CETA staff can participate in committees created to support it.
- Integrated Planning and Management System, in which CETA planning is coordinated with other tribal programs and aligned with overall tribal development by an operational office and/or other overseeing bodies.

Tribes can also look to other planning and program management models for additional ideas on coordinating and integrating CETA and economic development

resources. These models include private industry, city, county, regional (councils of government), state and federal planning and management mechanisms such as the A-95 Clearinghouse and offices patterned after the federal Office of Management and Budget.

CONCLUSION

The foregoing suggestions on how to improve the use of CETA to support tribal economic development focus on two types of activities: developing a CETA planning capacity and creating linkages between CETA and other economic development bodies, both on-reservation and off. Implementing these suggestions must start with a commitment to planning and its corollary--coordination. The dominant theme that emerges in the exemplary planning approaches described in chapter 2 is the importance of coordinating through linkages. All three tribes have gone through a similar process of building on basic linkages to develop different but progressively more complex and useful systems over time.

The tribe interested in starting or improving its planning and coordination system can plug in to our exemplary planning approaches at the stage or level appropriate to its own situation. The main objective is to plan and build linkages at some level and to allow the planning system to evolve as the tribe's economic development and management evolve.

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APPENDIX A

BACKGROUND ON SELECTED PLANNING PROCESSES AND COORDINATION MECHANISMS

- The Overall Economic Development Plan
- The A-95 Clearinghouse Review
- The IGA/Joint Funding Process

A-1. THE OVERALL ECONOMIC DEVELOPMENT PLAN

The Overall Economic Development Plan (OEDP) is an important element in reservation development planning activities and is required of all tribes and Native American Communities (planning units) which desire to participate in EDA programs. To remain eligible for funding planning units must also update the OEDP each year. Redevelopment areas (economically distressed areas) such as reservations which are located in an existing Economic Development District (EDD) may use the district's accepted OEDP if they actually participated in and supported the OEDP planning process.

In addition to providing eligibility for EDA program benefits, the OEDP is in theory part of a locally initiated planning process designed to:

- create employment opportunities;
- foster more stable and diversified local economies;
- improve local economic and social conditions;
- provide a mechanism for coordinating the efforts of local individuals and organizations concerned with the economic development of their area.

The preparation of the OEDP sets in motion a process of economic development planning. OEDP committees have the responsibility of preparing the OEDP and the ongoing development program along with the economic development planner. The OEDP committee is to be representative of the community. The structure of the OEDP committee on Indian reservations varies widely, sometimes composed of a broad spectrum of tribal members and sometimes limited to the Tribal Council (whose composition is also quite varied). The Economic Development Representative (EDR) of EDA assists tribes in the pre-application and application process for EDA-funded projects.

The URSA study team found that the OEDP process is not always the most critical element in economic development planning for the following reasons:

- Preparation of OEDPs was not always done on a yearly basis. EDA required updates in 1976, and has required annual reports, but for some tribes the OEDP process was not yearly and, hence, not compatible with a yearly manpower planning effort;
- OEDPs include discussions of CETA and manpower, but actual project funding and implementation will control the actual economic development thrusts that CETA should coordinate and link up with. The development of integrated CETA and OEDP documents may in part compromise CETA efforts since EDA application, review, and funding processes are often lengthy and may flow into more than one fiscal year.
- Other agencies--HUD, Farmers Home Administration, ANA, Community Services Administration, etc.--are involved in economic development apart from EDA and the OEDP process, although the EDA planner is the key person in the planning process. Therefore, CETA linkages with other economic development efforts are as critical as the need to coordinate with the OEDP process; and

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- OEDP preparation is but one role assumed by the EDA-funded planners on reservations. Planners are also required to monitor the construction of EDA-funded projects, to submit applications for other economic development oriented efforts (HUD/CDBG, FmHA, etc.) and to monitor the development of such projects. Planners also assist the tribes and individual entrepreneurs in packaging BIA Business Development loans and grants and SBA loans.

Thus, the OEDP should be one of a series of planning and development processes which reservations and communities use in securing economic development support.

A-2. THE A-95 CLEARINGHOUSE REVIEW PROCESS

The SRPMIC A-95 Clearinghouse was established in 1976 to bring an additional review and coordination mechanism to the overall tribal planning process. For 1977, the OMPD staff began a process of integrating all the departmental program plans and budgets so that the community (tribal) council could see more clearly where tribal resources were being obtained and expended and where good management practices could be effectuated.

The Clearinghouse is based on the Office of Management and Budget Circular No. A-95, which is a "regulation designed to promote maximum coordination of federal and federally assisted programs and projects with each other and with state, areawide, and local plans and programs."[1] The statutes of A-95 were designed to achieve "the most effective and efficient utilization of federal assistance resources through coordination and the elimination of conflict and duplication."[2]

The requirements of A-95 apply almost entirely to federal agencies and to applicants for federal assistance. As described in the OMB A-95 handbook:

> A-95 sets forth procedures under which federal agencies and applicants for federal assistance must give state and local governments, through state and areawide clearinghouses, an opportunity to assess the relationship of their proposals to state, areawide, and local plans and programs. Federal agencies are to consider these assessments . . . in deciding whether or not to proceed with the proposed project.[3]

In recognition of regional, state and local differences, A-95 has few constraints on how clearinghouses manage the review process. State and local governments (including potentially tribal governments) do have a time limit for reviews, and must identify jurisdictions and agencies whose plans or programs might be affected by a proposed project, giving them an opportunity to participate in the review process. However, state and local governments have a great deal of flexibility in deciding the existence and organization of clearinghouses, and the procedures or techniques by which clearinghouses manage the review process. While A-95 provides an opportunity for governors, mayors, county elected officials, tribal governments, and other state and local officials, through the clearinghouses, to have input on federal decisions regarding proposed projects which may affect their own plans and programs, the clearinghouse recommendations are advisory only.

The programs which are eligible for review by an A-95 clearinghouse are almost all those federal programs identified as having an "identifiable impact on state, area or community development."

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1. OMB Circular "A-95, What It Is--How it Works," a handbook prepared by OMB, (Washington, D.C., 1976), p.1.

2. Ibid., p. 6.

3. Ibid., pp. 4-5.

Federally recognized Indian tribes are not required to participate in state and areawide clearinghouse reviews because of their unique status vis-a-vis the federal government. However, tribes are encouraged to establish a formal coordinating mechanism which, upon approval by the Office of Management and Budget, may be treated as a clearinghouse. Tribal departments, entities and organizations then submit their applications for federal assistance to the tribal "clearinghouse" for review and comment. An additional benefit for tribes is that the tribal clearinghouse can coordinate plans and share information with adjacent, i.e., state and areawide, clearinghouses.

A-3. THE INTEGRATED GRANT APPLICATION/ JOINT FUNDING SIMPLIFICATION ACT (IGA/JFSA)

Background of IGA/JFSA (Public Law 93-510)

The joint funding process permits state and local governments, including tribes and nonprofit organizations, to apply for federal assistance from more than one federal agency using a single application, and to receive a single grant, contract or cooperative agreement. The different project or program elements funded by the individual federal programs must be interrelated and contribute to the completion of the joint funded project. Among the objectives of the process are:

1) To expedite the federal procedures for review and approval of support for projects requiring support from more than one Federal assistance program;

2) To simplify federal requirements for the funding, monitoring, and overall operation of joint funding projects, including the use of standard application forms;

3) To encourage more effective and efficient use of federal resources; and

4) To encourage and facilitate federal-state partnerships which would assist local governments, including tribes and nonprofit organitions, on projects of common interest.[1]

Steps in the IGS/JFSA Process

The joint funding application process is a good example of how Salt River's Planning and Budgeting (P & B) system fosters coordinated program development and facilitates the preparation of consistent and easily prepared grant applications. The way this happens is that the joint funding planning process is a subsystem of the overall P & B process (see page 38). In FY 1979 the joint funding subsystem fit into the P & B process in the following manner (see Chart A-3).

Step 1--Throughout the year OMPD and department members review the Federal Domestic Assistance Catalog and the Federal Register to keep up on programs for which the tribe is eligible. Staff also review Federal Grants and Contract legislation, Economic Opportunity Reports and other publications listing legislation focused on human services delivery and community development.

Step 2--In the beginning of January, OMPD schedules the joint funding kick-off meeting to be held at the end of January.

Step 3--OMPD staff and community officials review the project applications which were submitted previously; based on an analysis of projects funded or likely to be funded, a tentative list of potential projects to be included in the pre-application is developed. The criteria for being included are:

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1. HUD Handbook 1300.14, Rev. 1 - Joint Funding Handbook, August, 1979, p. 1.

- whether the proposed funding agencies have participated in the joint funding process
- the proposed project budget
- whether or not the tribal officials want to continue on the same course with the federal agencies
- whether or not departments want to continue the programs.

(For example, some FY '78 programs were dropped, either because community priorities changed or some needs were met).

Step 4--Based on the tentative project list, staff are assigned to prepare project narratives. The staff refers to the plans and narratives developed for their individual projects and programs between October and January during the planning and budgeting process (Phase I of the overall planning and budgeting process).

Thus, by the time the joint funding kick-off meeting is held, overall tribal goals and individual program plans and budgets have been developed by the staff, reviewed by the Management Review Committee (the A-95 Clearinghouse) and made ready for submission to the tribal council. The staff draw from these plans to develop their joint funding project narratives.

Step 5--By mid-February the draft pre-application is completed by OMPD, containing the narratives for individual projects. See Chart C-2 for an example of the SRPMIC Joint Funding Pre-application Format).

Step 6--Between mid-February and mid-March, the Management Review Committee reviews the pre-application and suggests changes if desired. Appropriate staff make any necessary amendments.

Step 7--In the beginning of March, OMPD schedules a tribal council briefing. The rest of the month is spent preparing the pre-application for the briefing.

Step 8--At the end of March, the pre-application is submitted for council review. Throughout April the Council reviews the pre-application.

Step 9--After feedback and revision OMPD finalizes the pre-application.

Step 10--In the beginning of May OMPD submits the pre-application to the WFRC.

Step 11--From May through September the appropriate federal agency representatives review the pre-application, requesting a full application for those projects to be funded, and making grant awards. OMPD tracks the progress of the application over this time period.

In FY '80, after SRPMIC had shortened the pre-application to a summary document entitled a "letter of intent," it added an additional step:

Step 12--The programs and projects to be funded all or in part through Joint Funding Programs are listed in a matrix and linked to suggested funding agencies by the Federal Domestic Assistance Catalog number. Salt River also requested feedback on other FDA programs under which the tribe would be eligible for funding.

Chart A-3

SRPMIC Joint Funding Pre-Application Format

Project: Name and Description

Need: Description of need derived from individual department plans, approved by the Tribal Council

Goal: Description of goal derived from individual department plans, approved by the Tribal Council

Objectives: Derived from individual department objectives

Results Expected:

Federal Domestic Assistance #_____

Agency _____ Funds_____ Year_____

Here is how the joint funding process works from the federal side once Salt River submits its "pre-application."

Step 1--The WFRC Joint Funding Lead agency Project Officer (P.O.) receives and distributes the letter of intent to all Indian desk committee members. The federal agency representatives take the request to their Principal Regional Officer (PRO) for review and response.

Step 2--The chairperson and staff of the WFRC work with each PRO to process reviews. Responses are returned to the tribe through the P.O.

Step 3--Based on the responses received (i.e., the likelihood of getting certain projects funded), Salt River then prepares one full application, eliminating the projects which will not be funded, and submits it to the P.O.

Step 4--The P.O. distributes the application to the appropriate agency representatives.

Step 5--The WFRC works with the PROs to facilitate the application in federal agencies in Washington and San Francisco.

Step 6--When a project is funded by an agency, the lead agency for the Salt River joint funding process (Department of Health and Human Services) continues as the lead agency in both project management and grants management, and the PRO for the individual funding agency becomes the project officer for the program or project funded.

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APPENDIX B

SELECTED GUIDES AND FORMATS USED IN THE SRPMIC PLANNING AND BUDGETING PROCESS

B-1. EXAMPLE OF
ORGANIZATION/GOALS

DEPARTMENT: Planning and Land Management

PROGRAM: *

GOAL: To provide the Salt River Pima-Maricopa Indian Community with Real Property Management services; to foster economic development; to insure that all development conforms to the General Development Plan, to the zoning and regulatory ordinances, to community standards; and to plan long range land use studies and controls that address the future needs of the Community.

* NOTE: This goal is universal for all three Department Branches under Planning and Land Management: planning, economic development and land management.

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B-2. EXAMPLE OF PLANNING AND BUDGETING FORMAT FOR SELECTED DEPARTMENTS AND PROGRAMS

DEPARTMENT: EXAMPLE: Community Services

PROGRAM: EXAMPLE: Social Services on Alcoholism

BACKGROUND: This section provides each department and program with an opportunity to give an introduction to each area and to provide a history. For example:

-When the department was formed
-How long it has been in existence
-How it has grown, which program it has acquired recently.

GOALS: In this section refer to and list Council approved goals. (See Appendix B-1)

OBJECTIVES & ACTIVITIES TO ACHIEVE OBJECTIVES: Under this section each program is required to list each objective in quantitative terms and to narrate the activities planned to achieve each objective. For example:

Objective:

Seven days a week provide a 24-hour staffed Center for Alcohol Abuse and for Rehabilitation Treatment.

Activities:

A. Schedule staff to provide adequate coverage of center 7 days a week 24 hours a day.

B. Schedule group therapy sessions once a week.

C. Schedule transportation for Alcoholic Anonymous meetings.

Finally, close this section with an organizational chart including a breakdown through each program and other sub-elements of the organization.

SERVICES PROVIDED: Under this section are listed all services that the program or department provides. Some examples are as follows:

Building Maintenance:

Maintains and repairs community building complexes.

Finance:

Maintains official accounting records of the community and prepares accurate financial reports in a timely manner; processes payroll time reports; issues payroll checks and maintains payroll files.

Recreation:

Administers recreation program for the community.

CAPITAL IMPROVEMENTS: The Capital Improvement Costs will be addressed in two sections:

A. Capital Improvement Costs for operating budget year.

B. Capital Improvement Costs for five year projections.

Capital Improvements are defined as any equipment, projects, construction (either new or renovation) over $300.

In section A Capital Improvements for proposed operating budget year will be included and justified on Line Item #840 of the Operating Budget.

In section B, Captial Improvement needs will be projected out for five additional years starting with the operating budget year (the same one as in section A) so that the end product will reflect current Capital Improvement budget plus five years.

PERFORMANCE MEASUREMENTS: This area is necessary in order to measure how effective we are in providing services to the community. You need to be very creative in developing performance measurement data. Some examples are:

Police Department Efficiency:

Response time to emergency in minutes, showing actual time for the current year and showing a projected goal for the budget year, also listing total number of emergency calls.

Planning:

Number of applications processed, number of approved, and number rejected.

Finance:

Number of payroll checks prepared, total cost of providing services.

Recreation:

Number of events held, number of community members participating.

Water Department:

Miles of water line construction completed.

Library:

Number of community members using library, number of books added to library.

PERSONNEL: Each department is required to fill out the form, listing all personnel by name and position that are currently working on the program or in the department. In addition, spaces are provided to project requirements for additional personnel.

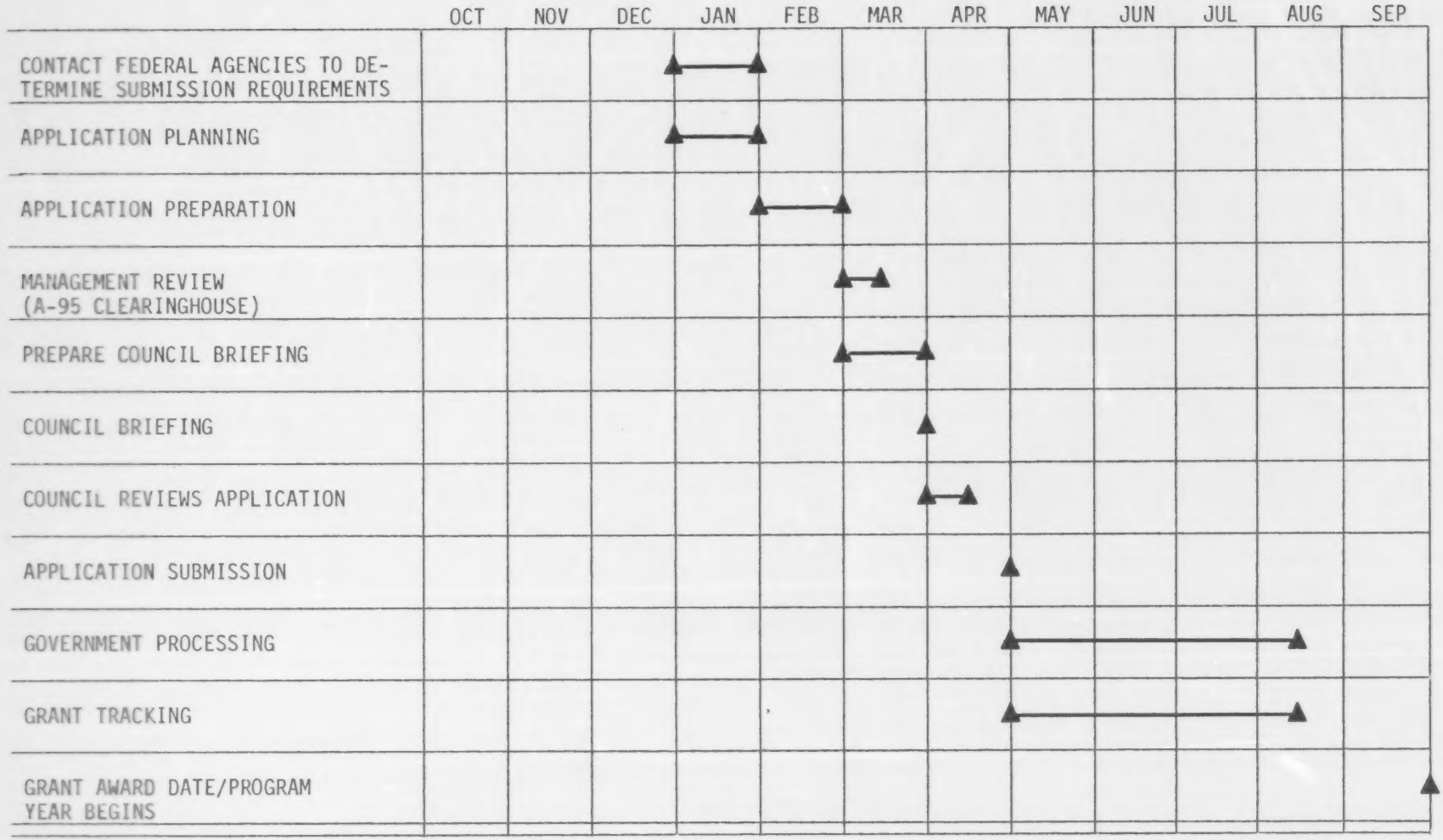
BUDGET ESTIMATE: A series of forms are provided by OMPD for this purpose.

FORMAT: In order to develop a planning and budgeting document that looks attractive you may request the use of a format which is an example of the kind of type, paragraph numbering, typing space, and so forth, desired for use in budgeting and planning.

DATA BASE

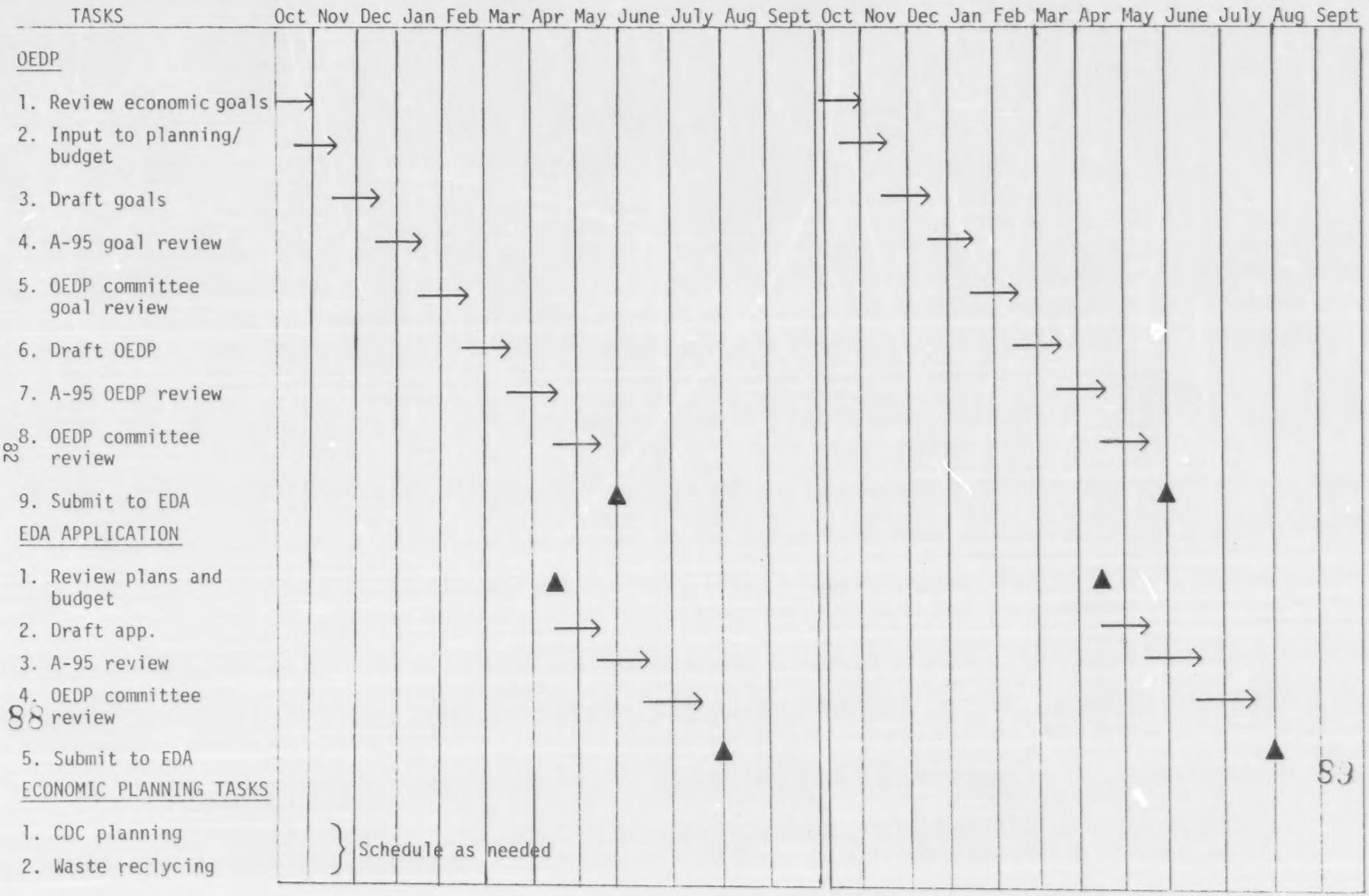
It is very important that the same basic information is used on unemployment, housing statistics, health statistics, and so forth, when doing planning. All of this information is generally referred to as the Data Base. As various sections of the plans and budgets are developed, it is essential that one refers to and uses the information in this Data Base. The Data Base was developed as part of the Housing Element during the General Development Plan revision work.

B-3. GRANT APPLICATION SUBSYSTEM #5



GRANTS AFFECTED: EDA, HEAD START, OMPD, ANA, AND ALL OTHER GRANTS WITH PROGRAM YEAR BEGINNING OCTOBER 1.

B-4. WORK ACTIVITY PLAN - ECONOMIC DEVELOPMENT SPECIALIST (EDS)


TASKS
Oct Nov Dec Jan Feb Mar Apr May June July Aug Sept Oct Nov Dec Jan Feb Mar Apr May June July Aug Sept
OEDP
1. Review economic goals
2. Input to planning/ budget
3. Draft goals
4. A-95 goal review
5. OEDP committee goal review
6. Draft OEDP
7. A-95 OEDP review
8. OEDP committee review
9. Submit to EDA
EDA APPLICATION
1. Review plans and budget
2. Draft app.
3. A-95 review
4. OEDP committee review
5. Submit to EDA
ECONOMIC PLANNING TASKS
1. CDC planning
2. Waste reclycing
Schedule as needed

APPENDIX C

RESOURCES ON RESERVATION ECONOMIC DEVELOPMENT PLANNING

C-1. BIBLIOGRAPHY OF RESOURCES

Following is an extract from Neighborhood Economic Enterprises: An Analysis, Survey and Guide to resources in starting up neighborhood enterprises. Written by Neil G. Kotler, the guide is a joint project of the National Association of Neighborhoods and the Charles F. Kettering Foundation. The bibliography is a guide to articles, books, newsletters and directories that communities will find useful in planning and economic development. The resource list includes individuals and organizations that furnish technical assistance to neighborhood and community development organizations. Although some of the enterprises described in the guide are oriented to urban neighborhoods, most of them work equally well in rural environments, and some are particularly relevant to the tribal government/enterprise structure.

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BIBLIOGRAPHY ON NEIGHBORHOOD ENTERPRISE

The bibliography on Neighborhood Enterprise is a guide to articles, books, newsletters, and directories of useful information to neighborhood-based groups seeking to create or maintain economic and other community enterprises.

The bibliography is divided into seven sections that closely relate to the resource list: A) Housing and neighborhood preservation; B) Neighborhood economic and financial enterprise; C) Food cooperatives and urban agriculture; D) Alternative technology and energy; E) Theory and practice of neighborhood organization; F) Newsletters and journals; G) Directories of organizations. Newsletters and journals are identified according to subject-matter, frequency of publication, and mailing addresses. Many of the newsletters deal with more than one activity, e.g., housing and alternative technology. Addresses for publications by technical assistance organizations can be obtained from the resource list.

A. Housing and Neighborhood Preservation

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Eden, Ernie. *Cooperative Housing: A Way to Save our Neighborhoods.* Washington, D.C.: Institute for Local Self-Reliance, 1977.

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Final Report to the Mayor's Task Force on Reinvestment and Other Papers. Seattle, Wash.: Office of Policy Planning, City of Seattle, 1976.

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Lifeblood of Housing: A Report on Housing Investment and Conservation. Washington, D.C.: Center for Community Change, 1976.

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(The) Neighborhood Housing Services Model: A Progress Assessment of the Related Activities of the Urban Reinvestment Task Force. Washington, D.C.: Office of Policy Development and Research, U.S. Department of Housing and Urban Development, 1975.

Neighborhood Preservation. 2 vols. Washington, D.C.: U.S. Department of Housing and Urban Development, Government Printing Office, 1975.

Neighborhood Reinvestment: A Citizen's Compendum to Programs and Strategies. Disclosure and Neighborhood Reinvestment: A Citizen's Guide. Washington, D.C.: National Center for Urban Ethnic Affairs, 1977 and 1976.

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(The) Responsive House: Selected Papers and Discussions from Shirt Sleeve Sessions in Responsive House Building Technologies. Cambridge, Mass.: MIT Press, 1974.

(The) Role of Mortgage Lending Practices in Older Urban Neighborhoods: Institutional Lenders, Regulatory Agencies and Their Community Impacts. Evanston, Ill.: Center for Urban Affairs, Northwestern University, 1975.

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Source II: Communities/Housing, a nonprofit housing action manual. Washington, D.C.: Resources for Community Change.

Tenant Law Handbook. Fort Lee, N.J.: New Jersey Tenants Organization.

B. Neighborhood Economic and Financial Enterprise

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Agostinelli, Floyd. *Social Investments in Community Development Credit Unions.* Washington, D.C.: National Center for Ethnic Affairs, 1977.

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Community Credit Needs. Hearings before Committee on Banking, Housing, and Urban Affairs. Washington, D.C.: United States Senate, 95th Congress, 1st Session, 1977.

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Credit Unions: Key to Community Development. Washington, D.C.: National Center for Urban Ethnic Affairs, 1977.

D.C. Food Buying-Club Handbook. Washington, D.C.: Strongforce, 1976.

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Democracy in the Work Place: Readings on the Implementation of Self-Management in the U.S. Washington, D.C.: Strongforce, 1977.

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(The) Foundation Directory, 6th ed. New York: The Foundation Center, Columbia University Press, 1977.

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How to Prepare a Business Plan–Guidelines for Entrepreneurs. Belmont, Mass.: Institute for New Enterprise Development, 1973.

(The) How-To-Start Folder for Self-Managed Business. Washington, D.C.: Strongforce, 1977.

Implementing Democracy in the Workplace: A Manual for Self-Managed Enterprises. San Francisco: Earthwork, 1976.

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(A) Lawyers' Manual on Community-Based Economic Development. Berkeley, Calif.: Economic Development Law Project, 1974.

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(The) Local Economic Development Corporation: Legal and Financial Guidelines. Washington, D.C.: Superintendent of Documents, U.S. Government Printing Office, 1970.

No Bosses Here: A Manual on Working Collectively. Cambridge, Mass.: Vocations for Social Change, 1976.

Non Profit Food Stores: A Resource Manual. Washington, D.C.: Strongforce, 1977.

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C. Food Cooperatives and Urban Agriculture

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(The) Food Co-op Handbook: How to Bypass Supermarkets to Control the Quality and Price of Your Food. Boston: Houghton Mifflin Company, 1975.

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D. Alternative Technology and Energy

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F. Newsletters and Journals

1. Housing and Neighborhood Preservation

Action Power, a monthly newsletter on community action and housing. Durham, N.C.: Carolina Action.

Disclosure, a newsletter on neighborhood action and housing. Chicago: The National Training and Information Center.

Doing It! Humanizing City Life, a bimonthly magazine on neighborhood action, alternative economic enterprises, and alternative technology. Worthington, Ohio: Urban Alternatives Group.

ESHAC Newsletter, a monthly on neighborhood action and housing. Milwaukee, Wisc.: ESHAC, Inc.

Housing Survival, a newsletter on housing and community organizing. Topeka: The Kansas Tenant Information Service.

Inter-Neighborhood Cooperation, a newsletter on neighborhood action, housing, and community economic development. Denver: Inter-Neighborhood Cooperation.

Lending, a bimonthly newsletter on combatting redlining and neighborhood disinvestment. Washington, D.C.: Project Lend, The Metropolitan Washington Planning and Housing Association.

Low Income Housing Information Service, a newsletter on legislative and executive action in the housing and community development field. Washington, D.C.: Ad Hoc Low Income Housing Coalition.

NAN Bulletin, a monthly newsletter on neighborhood activities. Washington, D.C.: National Association of Neighborhoods.

(The) National Center Reporter, a monthly newsletter on community action activity across the country. Washington, D.C.: The National Center for Community Action.

Neighbor to Neighbor. Portland, Oreg.: Office of Neighborhood Association, Dept. of Public Safety, City of Portland.

Neighborhood Ideas, a bulletin for information exchange. Washington, D.C. Center for Governmental studies.

Neighborhood Organization Research Group News Bulletin, a periodic newsletter on current neighborhood research and legislation bearing on urban neighborhoods. Bloomington, Ind.: Workshop in Political Theory and Political Analysis.

Neighborhoods, a bimonthly newsletter on housing and community economic development. Philadelphia, Pa.: Institute for the Study of Civic Values.

Network, a bimonthly on neighborhood nonprofit housing development and alternative technology. New York: Peoples Housing Network.

Network Notes. Washington, D.C.: National Self-Help Resources Center.

The Redlining Reporter, a newsletter on housing issues. Los Angeles: Los Angeles County Coalition.

Renascence Reports, a monthly publication devoted to housing rehabilitation, urban agriculture, alternative technology. Kansas City, Mo.: The Renascence Project.

Self-Help Reporter, a bimonthly newsletter that deals with neighborhood health care and other self-help activities. New York: The National Self-Help Clearinghouse.

Self-Reliance, a bimonthly newsletter on neighborhood activities, community organization, and alternative technology. Washington, D.C.: Institute for Local Self-Reliance.

Shelterforce: A National Housing Publication. East Orange, N.J.: Shelterforce Collective.

SWCC: Southwest Corridor Land Development Coalition, Inc. Newsletter, a quarterly on housing, land use, and community development. Roxbury, Maine: SWCC.

(The) UNA Flash, a bimonthly newsletter on housing development, tenants, rights, and land use. Oakland, Calif.: United Neighbors in Action.

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2. Neighborhood Economic/Financial Enterprise

Association for Economic Democracy Newsletter, a bimonthly on community and worker-controlled economic enterprises. Ithaca, N.Y.: Association for Economic Democracy.

Center for Community Economic Development Newsletter, a bimonthly on community economic development and community development corporations. Cambridge, Mass.: Center for Community Economic Development.

Communities: Journal of Cooperative Living, a bimonthly on community and worker-controlled economic enterprises and cooperative living arrangements. Louisa, Va.: Communities Publications Cooperative.

D.C. Democratic Economics, a bimonthly newsletter on worker-community economic control in Washington, D.C. Washington, D.C.: Strongforce.

Economic Development Law Project Report, a bimonthly newsletter on community economic development and community development corporations. Berkeley, Calif.: The National Economic Development Law Project of the Earl Warren Legal Institute.

Interchange, a monthly newsletter on community economic development and community development corporations. Washington, D.C.: National Congress for Community Economic Development.

(The) New Harbinger, a quarterly journal on cooperative enterprises and worker self-management. Ann Arbor, Mich.: North American Student Cooperative Organization.

News from Federation for Economic Democracy, a newsletter on worker self-managed economic enterprises. Ithaca, N.Y.: Federation for Economic Democracy.

Northwest Network: Journal of the Cascade Region, a monthly newsletter on cooperative enterprise and community economic development. Eugene, Oreg.: Cascadian Regional Library.

(The) Public Works, a quarterly journal on community organizing and radical politics. Oakland, Calif.: Community Ownership Organizing Project.

3. Food Cooperatives and Urban Agriculture

CA News, a newsletter on consumer and community action published nine times a year. San Francisco, Calif.: Consumer Action.

(The) Community Work, a monthly newsletter on food co-ops and alternative technology. Fort Collins, Colo.: The Point Foundation, Inc.

Cooperative Consumer Viewpoint, a bimonthly newspaper on cooperative enterprise. Philadelphia, Pa.: Delaware Valley Coalition for Consumer Education and Cooperation.

Co-op News. Berkeley, Calif.: Consumers Cooperative of Berkeley, Inc.

(The) Food Conspiracy Newsletter, a monthly on co-ops, collectives, and neighborhood action. Tucson, Ariz.: Food Conspiracy.

Food Co-op Nooz. Chicago: Food Co-op Project, Loop College.

Green Revolution, a monthly magazine on community, economic development, co-ops, and collectives. York, Pa.: School of Living.

NASCO: Students of Cooperation, Monthly News of Co-op Communities. Ann Arbor, Mich.: North American Student Cooperative Organization.

Over the Garden Fence, published 10 times a year on food production, energy, and alternative technology. Dallas, Tex.

Public Notice, a monthly newspaper on community action and co-ops. Lawrence, Kans.: Community Mercantile Food Cooperative and People's Energy Project.

Self-Determination Quarterly, a newsletter on cooperative enterprise and politics. Santa Clara, Calif.: Self-Determination.

(The) Source, a quarterly newsletter on alternative food production. Northampton, Mass.: Massachusetts Association of Biological Farmers and Gardeners.

(The) Tilth Newsletter, a quarterly journal on alternative agriculture and food in the Northwest. Arlington, Wash.

Windborne, a newsletter on food co-ops, agriculture, and alternative technology. Roanoke: Appalantic Federation of Cooperatives.

4. Alternative Technology and Energy

ACORN, a newsletter on alternative technologies and urban agriculture published 10 times a year. Park Forest South, Ill.: Governors State University.

Alternative Sources of Energy. Milaca, Minn.: Alternative Sources of Energy, Inc.

Alternative Technologies, a bimonthly newsletter. Indianapolis, Ind.: Alternative Technologies Association.

Compost Science: Journal of Waste Recycling. Emmaus, Pa.: Rodale Press.

Connections, a monthly newsletter on alternative technology. Lansing, Mich.: Lansing Energy Affairs Network.

Critical Mass Journal, a newsletter on alternative energy. Washington, D.C.: Critical Mass Energy Project.

(The) Ecology Center Newsletter, a monthly on alternative technology and agriculture. Berkeley, Calif.: Ecology Center.

Intermediate Technology Report. Menlo Park, Calif.: Intermediate Technology.

NCAT NEWS. Butte, Mont.: National Center for Appropriate Technology.

People and Energy. Washington, D.C.: Center for Science in the Public Interest.

RAIN, a monthly magazine on appropriate technology. Portland, Oreg.: RAIN.

Rodale's Environment Action Bulletin, a biweekly on alternative technology. Emmaus, Pa.: Rodale Press.

(The) Solar News, a newsletter on solar energy development of the Mid-Atlantic Solar Energy Association. Philadelphia, Pa.: Dept. of Agriculture, University of Pennsylvania.

Solar Utilization News, a monthly journal on alternative technology. Estes Park, Colo.: Alternative Energy Institute.

(The) Workbook, a monthly journal cataloging information on consumer, neighborhood, and alternative technologies issues. Albuquerque, N.M.: Southwest Research and Information Center.

G. Directories of Organizations

(The) Bay Area Directory of Collectives. San Francisco: Earthwork.

Becker, Ann; and Eccli, Eugene, eds. *Appropriate Technology–A Directory of Activities and Projects*. Springfield, Va.: Document Sales, National Technical Information Service, U.S. Department of Commerce, 1977.

Carnaham, Don, ed. *Guide to Alternative Periodicals*. St. Petersburg, Fla.: Sunspark Press, 1976.

Food Co-Op Directory, an up-to-date listing of 2000 American and Canadian consumer co-ops, warehouses, bakeries, restaurants. Albuquerque, N.M.: 106 Girard, S.E.

Gardner, Richard, ed. *Alternative America: A Directory of 5000 Alternative Life-Style Groups and Organizations*. Cambridge, Mass.: Richard Gardner, Box 134, Harvard Square.

Krotosky, Steven. *Massachusetts Resource Directory of Community Economic Development Groups*. Cambridge, Mass.: Center for Community Economic Development, 1975.

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RESOURCE LIST

The resource list is a guide to individuals and organizations throughout the country that furnish technical and other assistance to neighborhood groups seeking to create economic or other community enterprises such as housing, or to maintain and improve existing enterprises and facilities. Among the services furnished are technical, financial, management, and marketing assistance. In addition, these resource individuals and organizations help to locate other resources and may function as an information clearinghouse.

The resource list consists of national support organizations, regional and local support organizations, and federal agencies that provide relevant assistance. The resource list is further divided according to the nature of the neighborhood enterprise: a) housing and neighborhood preservation; b) neighborhood financial development; c) neighborhood economic enterprise such as nonprofit firms, community development corporations, worker-managed firms, etc.; d) food cooperatives and urban agriculture; and e) alternative technology and energy projects. Wherever possible, resources are identified according to their specific activities, and by region.

Outline:

A. National Support Organizations and Federal Agencies
   1. Housing and Neighborhood Preservation
   2. Neighborhood Financial Development
   3. Neighborhood Economic Enterprise
   4. Food Cooperatives and Urban Agriculture
   5. Alternative Technology and Energy Projects
B. Regional and Local Support Organizations
   1. Housing and Neighborhood Preservation
   2. Neighborhood Financial Development
   3. Neighborhood Economic Enterprise
   4. Food Cooperatives and Urban Agriculture
   5. Alternative Technology and Energy Projects
C. Foundations and Other Philanthropic Institutions

A. National Support Organizations and Federal Agencies

1. Housing and Neighborhood Preservation

ACTION
806 Connecticut Avenue, N.W.
Washington, DC 20525
202-254-6886

VISTA and other volunteer programs; loan program to cooperatives.

Architecture and Environmental Arts Program
National Endowment for the Arts
2401 E Street, N.W.
Washington, DC 20506
202-634-4276
Contact: Geri Bachman

"Livable Cities Program" provides grants to local governments and nonprofit corporations in the areas of architecture, environmental improvement, and neighborhood preservation.

Association of Neighborhood Housing Developers, Inc.
29 E. 22nd Street
New York, NY 10010
212-674-7610
Contact: Virginia Sherry

Technical support for nonprofit housing development.

Campaign for Human Development U.S. Catholic Conference
1312 Massachusetts Avenue N.W.
Washington, DC 20005
202-659-6650
Contact: Douglas M. Lawson, Program Officer

A foundation that supports self-help projects for community economic development and neighborhood organizing.

Center for Community Change
1000 Wisconsin Avenue, N.W.
Washington, DC 20007
202-338-6310

Assists low-income and minority community organizations in the areas of housing, health, and education.

The Institute for Local Self-Reliance
1717 18th Street, N.W.
Washington, DC 20009
202-232-4108
Contact: David Morris, Director

Supports alternative technology, urban agriculture, neighborhood action, and housing; extensive library, and publications and directory of technical assistance resources.

National Association of Housing Cooperatives
1522 K Street, N.W., Suite 1036
Washington, DC 20005
202-347-3713 or 3714
Contact: Ernie Eden, Director

Assists housing cooperatives and a clearinghouse.

National Association of Neighborhoods
1612 20th Street, N.W.
Washington, DC 20009
202-332-7766
Contact: Milton Kotler

A policy, educational, and legislative action association of neighborhood organizations. Task forces on basic issue-areas such as economic development, crime, energy, etc.

National Center for Urban Ethnic Affairs
1521 16th Street, N.W.
Washington, DC 20036
202-232-3600
Contact: Ed Dulcan

Policy, research, and technical assistance organization involved in neighborhood preservation, community credit unions, and economic development.

National Training and Information Center
1123 W. Washington Boulevard
Chicago, IL 60607
312-243-3035
Contact: Gail Cincotta

Neighborhood organizing and neighborhood reinvestment strategies.

Office of Assistant Secretary for Neighborhood Organizations and Consumer Protection
Department of Housing and Urban Development
Room 4100
451 7th Street, S.W.
Washington, DC 20410
202-755-0950

Office of Economic Development
Community Services Administration
1200 19th Street, N.W.
Washington, DC 20506
202-254-5090

Funds community development corporations and community action agencies; provides emergency assistance to communities.

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Office of Housing and Urban Affairs
Federal Home Loan Bank Board
320 1st Street, N.W.
Washington, DC 20552
202-376-3282 or 3262
Regulates federally-chartered savings and loans and handles complaints about mortgage loan practices.

Office of Public Information
Neighborhood Housing Services Program
Urban Reinvestment Task Force
1120 19th Street, N.W.
Washington, DC 20036
202-634-1905
One of the most successful neighborhood preservation and housing rehabilitation programs.

Workshop in Political Theory and Political Analysis
121 Morgan Hall
Indiana University
Bloomington, IN 47401
812-337-0441
Contact: Frances Bish
A clearinghouse on neighborhood research and policy.

2. Neighborhood Financial Development

Alternative Economics, Inc.
P.O. Box 29146
Washington, DC 20017
202-832-5200
Contact: Floyd Agostinelli, Billy McLaughlin
Provides technical assistance to community development credit unions and other financial development instruments.

American Federation of Community Credit Unions
2436½ 18th Street, N.W.
Washington, DC 20009
202-332-7567
Contact: Shelly Grasty
Provides technical assistance to credit unions.

National Center for Urban Ethnic Affairs
1521 16th Street, N.W.
Washington, DC 20036
202-232-3600
Contact: Ben Johnson
Policy, research, and technical assistance organization involved in neighborhood preservation, community credit unions, and economic development.

Public Information Office
National Credit Union Administration
2025 M Street, N.W.
Washington, DC 20456
202-254-9800
Regulates credit unions.

3. Neighborhood Economic Enterprise

Center for Community Economic Development
639 Massachusetts Avenue
Cambridge, MA 02139, Room 316
617-547-9695
Contact: DeForest Brown, Jr., Director
Federally-supported research and policy organization assisting community development corporations.

Center for Economic Studies
457 Kingsley Avenue
Palo Alto, CA 94301
415-328-1039
Contact: Joyce Crain
A nonprofit research and policy group that is undertaking a three-year study of alternative economic enterprises nationwide, including an extensive directory.

National Congress for Community Economic Development
1029 Vermont Avenue, N.W.
Suite 304
Washington, DC
202-659-8411
Contact: Philip A. Lo Presti, President
Association of Community Development Corporations.

National Development Law Project
2150 Shattuck, Suite 300
Berkeley, CA 94704
415-642-2826
Contact: Arthur Blaustein, Director
Federally-supported research and policy organization assisting community development corporations.

Office of Minority Business Enterprise
Department of Commerce
5053 Main Commerce Building
Washington, DC 20230
202-377-5061
Assists minority business enterprises and nonprofit economic development corporations.

Office of Technical Assistance
Department of Commerce
7842 Main Commerce Building
Washington, DC 20230
202-377-5111
Provides grants for economic development to local governments and nonprofit corporations in designated depressed areas.

Small Business Administration
1441 L Street, N.W.
Washington, DC 20416
202-653-6842
Contact: Bill Dean
The Local Development Company program provides grants to groups of individuals undertaking business enterprise in a depressed community.

4. Food Cooperatives and Urban Agriculture

The Cooperative League of the U.S.A.
1828 L Street, N.W.
Washington, DC 20036
202-872-0550
Contact: Phil Dodge
Association of cooperatives.

Food Co-op Project
106 Girard, S.E., No. 110
Albuquerque, NM 87106
505-265-7416
Assists food co-ops; and a clearinghouse.

The Institute for Local Self-Reliance
1717 18th Street, N.W.
Washington, DC 20009
202-232-4108
Contact: David Morris, Director
Supports alternative technology, urban agriculture, and neighborhood action and housing; extensive library and publications and directory of technical assistance resources.

North American Student Cooperative Organizations
P.O. Box 1301
Ann Arbor, MI 48106
313-663-0889
Assists co-ops and alternative enterprises.

Helga and Bill Olkowski
1307 Acton Street
Berkeley, CA 95706
415-524-8404
Alternative technology, authors, "The City People's Book of Raising Food."

5. Alternative Technology and Energy Projects

The Institute for Local Self-Reliance
1717 18th Street, N.W.
Washington, DC 20009
202-232-4108
Contact: David Morris, Director
Supports alternative technology, urban agriculture, neighborhood action, and housing; extensive library and publications and directory of technical assistance resources.

National Center for Appropriate Technology
Butte, MT 59701
406-723-6533
Contact: Joe Gonzales
Beth Sachs, Librarian
Clearinghouse on alternative technology.

Office of Operations
Community Services Administration
1200 19th Street, N.W.
Washington, DC 20506
202-254-5670
Contact: Mary Ann Mackenzie
Furnishes technical and financial assistance to alternative technology projects.

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B. Regional and Local Support Organizations.

1. Housing and Neighborhood Preservation

Northeast

Ad Hoc Low Income Housing Coalition
215 8th Street, N.E.
Washington, DC 20002
202-544-2544
A clearinghouse on federal action in the housing and community development field and an advocacy group.

Association of Neighborhood Housing Developers, Inc.
29 E. 22nd Street
New York, NY 10010
212-674-7610
Contact: Robert Schur, Exec. Director
Technical support for nonprofit housing development.

Interfaith Adopt-A-Building
300 E. 4th Street
New York, NY 10009
212-677-8700
Contact: Ruth or Roberto Nazario
Cooperative homesteading and housing rehabilitation.

Jubilee Housing, Inc.
Development Group
2125 Massachusetts Avenue, N.W.
Washington, DC 20036
202-387-1617
Multi-family housing rehabilitation in low-income urban areas.

Philadelphia Council of Neighborhood Organizations
1522 W. Girard Avenue
Philadelphia, PA 19130
215-235-2720
Support organization for 125 neighborhood groups.

Project Lend: Lending Equality for Neighborhoods Disinvested
Metropolitan Washington Planning and Housing Association
1225 K Street, N.W.
Washington, DC 20005
202-737-3700
Provides technical assistance to community organizations working on neighborhood reinvestment.

The Shelterforce Collective
380 Main Street
East Orange, NJ 07018
201-673-2405
675-6240
A clearinghouse on national housing issues and nonprofit housing development, and provides assistance to housing and community organizers.

Southwest Corridor Land Development Coalition
27 Dudley Street
Roxbury, MA 02119
617-427-0035
Advocacy and assistance in housing, land use, and community issues in the city of Boston.

Technico-op, Inc.
1010 Washington Boulevard
Stamford, CT 06901
203-359-1360
Contact: Roger Willcox
Furnishes assistance to nonprofit groups, particularly in inner-city areas, in the development of cooperative housing.

Urban Homesteading Assistance Board
Cathedral House
1047 Amsterdam Avenue
New York, NY 10025
212-678-6911
Contact: Philip St. Georges, Director
Assists low-income groups to rehabilitate housing, technical, financial management assistance, homesteading.

Midwest

Community Design Center of Minnesota
118 E. 26th Street
Minneapolis, MN 55404
612-827-2600
Contact: Mark Ryan
Provides technical housing assistance to community organizations in the areas of single-family housing rehabilitation and the retrofitting and management of multi-family housing.

Homeowners' Federation
10234 Washtenaw Avenue
Chicago, IL 60642
Assists neighborhoods in the fight against redlining.

Michigan Avenue Community Organization (MACO)
4330 Central
Detroit, MI 48210
313-849-1410
Contact: Sister Kathleen Bruton
A coalition of Detroit neighborhood organizations involved in anti-redlining campaigns, housing rehabilitation, crime control, and community development.

The Renascence Project
3611 Walnut
Kansas City, MO 64111
816-531-0408
Contact: Matt Taylor
A consortium of for-profit and nonprofit corporations that offers services in housing, energy conservation, and urban agriculture; assists communities in the development of alternative enterprises.

West

United Neighbors in Action
491 65th Street
Oakland, CA 94609
415-654-1747
Assists local groups on tenants' rights, zoning, and land use; housing development.

South

Carolina Action
712 W. Johnson Street
Raleigh, NC 27603
919-834-1138
Contact: Sue Esty
A community organization that assists individuals in housing and community improvement.

2. Neighborhood Financial Development

Alternative Economics, Inc.
P.O. Box 29146
Washington, DC 20017
202-832-5200
Contact: Floyd Agostinelli and Billy McLaughlin
Provides technical assistance to community development credit unions and other community financial development projects.

Community Credit Union Project
National Center for Urban Ethnic Affairs
1521 16th Street, N.W.
Washington, DC 20036
202-232-3600
Contact: Ben Johnson
A national program that assists development of community credit unions; directory of local and regional community credit unions.

Region VI Office
National Credit Union Administration
760 Market Street, Room 809
San Francisco, CA 94102
415-556-6277
Contact: Earl Bradley, Director
Western regional office provides information on credit unions and their regulation.

South Shore National Bank
7054 S. Jeffrey Boulevard
Chicago, IL 60649
312-288-1000
First neighborhood development bank committed to financial assistance to neighborhood revitalization projects.

Southside Community Enterprises
2550 Pillsbury Avenue S.
Minneapolis, MN 55404
612-827-5381
Contact: Tom Beer
A model of a community-organized credit union.

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3. Neighborhood Economic Enterprise

Northeast

Boston Chapter, Federation for Economic Democracy
c/o David Ellerman
14 Norfolk Terrace
Wellesley, MA
617-237-6826
Assists worker-controlled enterprises.

Federation for Economic Democracy
P.O. Box 802
Ithica, NY 14850
607-387-5110
Contact: Christopher Gunn
Promotes and assists worker and community-controlled economic enterprises.

National Economic Development Law Project
Washington Office
1523 O Street, N.W.
Washington, DC 20005
202-667-7000
Contact: Leslie Nulty
Assists CDCs.

Philadelphia Chapter, Federation for Economic Democracy
c/o Frank Lindenfeld
Sociology Department
Cheyney State College
Cheyney, PA 19319
215-436-8824
Assists worker-controlled enterprises.

Project Work
99 Claremont Avenue
New York, NY 10027
212-666-8911
Contact: Sydney Brown
Information—a clearinghouse on worker management and improvements in working life.

Strongforce
2121 Decatur Place, N.W.
Washington, DC 20008
202-234-6883
Contact: Mark Looney, Cynthia Burton
Assists worker and community-controlled enterprises; clearinghouse.

Midwest

Association for Economic Democracy—Midwest
762½ N. Park Street
Columbus, OH 43215
Contact: Ted Hayes
A clearinghouse on worker or consumer-owned economic enterprise.

Doing It! Humanizing City Life
Box 303
Worthington, OH 43085
614-885-8964
A clearinghouse on the development and management of co-ops and neighborhood economic enterprises.

Kansas City Regional Development Association
The Future Associates
P.O. Box 912
Shawnee Mission, KS 66201
914-432-8743
Contact: Joe Falk, General Manager
A nonprofit organization committed to neighborhood economic development through cooperative enterprises. Assists neighborhood enterprises such as a community development cooperative begun in Columbia, Missouri.

West

Community Ownership Organizing Project
349 62nd Street
Oakland, CA 94618
415-653-6555
Contact: Ed Kersher or Eve Bach
A clearinghouse and offers technical assistance to groups seeking to organize community-controlled enterprises.

Constructive Work Project
c/o New Ways to Work
457 Kingsley
Palo Alto, CA 94301
Contact: Mike Closson
A clearinghouse and research group dealing with worker management and improvements in working life.

Earthwork
1499 Potrero
San Francisco, CA 94110
415-648-2094
A center for organizing and education on land and food issues, provides assistance to groups forming buying clubs and co-op stores; maintains directory of Bay Area co-ops and collectives, and distributes pamphlets and books.

New School for Democratic Management
256 Sutter Street
San Francisco, CA 94108
Offers courses and workshops on financial management, marketing, accounting for community economic enterprise.

4. Food Cooperatives and Urban Agriculture

Northeast

Broadway Local Food Co-op
95th and Columbus
New York, NY 10025
212-663-2266
Contact: Tony Velleda

Central N.Y. Regional Market
2100 Park Street
Syracuse, NY 13208

Clear Eye Warehouse
367 Orchard
Rochester, NY 14606
716-235-1080

Community Warehouse
2010 Kendall Street, N.E.
Washington, DC 20002
202-832-4517

New England Federation of Co-ops (NEFCO)
8 Ashford Street
Allston, MA 02134
617-ALIVING
Contact: Don Lubin

People's Warehouse
21 2nd Avenue
New York, NY 10003
212-477-9685

Philadelphia Federation of Food Co-ops/ Powelltown Warehouse
3300 Race Street
Philadelphia, PA 19104

Midwest

All Co-op Assembly
P.O. Box 6022
Minneapolis, MN 55406
612-721-4925
Contact: Kris Olsom

Blooming Prairie Warehouse
529 S. Gilbert
Iowa City, IA 52240
319-338-5300

Common Market Warehouse
Box 8253
Columbus, OH 43201
614-294-0145

Federation of Ohio River Cooperatives
80 E. Swan
Columbus, OH 43215
614-238-3672
Contact: Tim Wagner

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Food Co-op Project
64 E. Lake Street
Chicago, IL 60601
312-269-8101

Intra-Community Cooperative
1335 Gilson
Madison, WI 53715
608-251-2403

Michigan Federation of Food Co-ops
404 W. Huron
Ann Arbor, MI 48103
313-761-4642
Contact: Allen Leiserson-Cash

Midwest Cooperating Consumers Association Warehouse (MCCA)
4140 W. Pine
St. Louis, MO 63130

SCOOP/People's Warehouse
123 E. 26th
Minneapolis, MN 55404
612-824-2634

The Sprout Co-op
c/o Martha's Housing Cooperative
225 Lakelawn Place
Madison, WI 53703
608-256-8476
608-256-1151

Southwest

Austin Community Project
1602 W. 12th
Austin, TX 78703
512-477-6255

Common Market of Colorado
1100 Champa
Denver, CO 80204
303-893-3430

Cooperation
5423 Druid Lane
Dallas, TX 75209

Earthwork
1499 Potrero
San Francisco, CA 94110
415-626-1266

People's Warehouse
411 No. 7th
Tucson, AZ 85705
602-884-9951

San Francisco Warehouse
1559 Bancroft
San Francisco, CA 94124
415-822-8830

Southern California Cooperating Community
11615 Mississippi
Los Angeles, CA 90025
213-478-1922

South

Appalantic Federation of Cooperatives
Box 1164
Roanoke, VA 24006
703-344-8637
Contact: Bill Wolf
Technical assistance to food co-ops in Virginia, West Virginia, and the Carolinas.

Federation of Southern Cooperatives
40 Marietta Street, N.W.
Atlanta, GA 30303
404-524-6882
Contact: Charles Prejean
Technical assistance to agricultural cooperatives and credit unions.

Federation of Southern Cooperatives
P.O. Box 95
Epes, AL 35460
205-652-9676
Contact: John Zippert

Sunshine Cooperative Association
4435 N.W. 2nd
Miami, FL 33127

Northwest

Cooperating Communities
4030 22nd Avenue, W.
Seattle, WA 98199
206-283-3777

Puget Consumers Co-op
6504 20th, N.E.
Seattle, WA 98115
206-524-8441
Contact: Kenneth Novic

Starflower
385 Lawrence
Eugene, OR 97401

5. Alternative Technology and Energy Projects

Northeast

Wyman E. Kilgore
1520 Bailey Street
Hastings, MA 55033
612-437-6654
Has built renewable energy systems including a solar hot water heater, methane generator, and conversion of a gravel lot to a garden with use of heavy composting.

Richard La Rosa
317 Oak Street
South Hempstead, NY 11550
516-486-7827
An electrical engineer who designs solar energy systems including backyard solar collectors, an insulated swimming pool for heat storage.

Charles Marsh
31 Donna Drive
Pomona, NJ 08240
609-652-7312
A retired professor of physics and engineering who designs solar energy systems such as low-cost retrofit of air heating collectors, to the vertical south walls of his home.

Mid-Atlantic Solar Energy Association
Department of Agriculture
University of Pennsylvania
Philadelphia, PA 19104

Midwest

Alternative Sources of Energy, Inc.
Route 2
Milaca, MN 56353

Alternative Technologies Association
P.O. Box 20571
Indianapolis, IN 46220

G. Herbert Gill
1817 W. 21st Street
Joplin, MO 64801
417-624-8070
Consulting engineer engaged in solar and wind energy applications for the home, including solar water distribution units, solar hot water heating, variable pitch propellor windmill.

Robert McBroom
217 Kansas
Holton, KS 66436
913-364-2443
Specializes in windpower systems and has experience in designing and installing wind generators and solar heating equipment.

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Southwest

Alternative Energy Institute
P.O. Box 3100
Estes Park, CO 80517

Domestic Technology Institute
P.O. Box 2043
Evergreen, CO 80439
Contact: Malcolm Lillywhite, Director
Greenhouses, low-cost heating technologies.

Farallones Institute
1516 5th Street
Berkeley, CA 94710
415-1525-1150
Contact: Helga Olkowski or Tom Javits
Alternative technology, energy conservation, urban agriculture.

George Helmholz
Route 1, Box 24 A
Covelo, CA 95428
Designs and builds wind electric systems, solar "breadbox" preheaters, night-sky radiation refrigeration, solar collectors, solar steam-driven water pumps for application in homes.

Intermediate Technology
556 Santa Cruz Avenue
Menlo Park, CA 94025

Office of Appropriate Technology
1623 10th Street
Sacramento, CA 95814
Clearinghouse on alternative technology projects.

Peter Van Dresser
634 Garcia Street
Santa Fe, NM 87501
A pioneer in the solar energy field since the 1930s. Author of *A Landscape for Humans* which examines local economic development based on local skills, materials, and renewable energy.

Northwest

RAIN
2270 N.W. Irving
Portland, OR 97210
503-227-5110
Clearinghouse of research and technical assistance on alternative technology.

South

Joseph Ennis
Star Route
Poplar Branch, NC 27965
Mechanical and electrical engineer who designs and builds renewable energy systems including solar heating and wind electricity, solar greenhouse; conducts workshops on alternative energy and low-cost shelter.

Enos L. Schera, Jr.
8254 S.W. 37th Street
Miami, FL 33155
305-226-0199
A private inventor who holds patents in the fields of alternative energy devices powered by sun, wind, and ocean waves.

C. Foundations and Other Philanthropic Institutions

There are more than 25,000 foundations in the United States. Some like the Ford Foundation are multi-million dollar institutions that support a great many activities. A number are sponsored by business corporations. Most are small and involved in very specific, limited, and local activities.

The foundations and other philanthropic institutions listed below are active in urban affairs and community economic development. They provide grants, or seed capital, or offer technical assistance. Most foundations take applications and have deadlines. The process usually begins with a letter stating the nature of the project. A good way to identify which foundations provide the kind of assistance needed is to consult The Foundation Directory, 6th edition, published by The Foundation Center (New York: Columbia University Press, 1977). Most libraries contain a copy of this massive volume that describes foundation activities and application procedures. The Foundation Center is headquartered at 888 Seventh Avenue, New York, New York, (tele.: 212-975-1120). It or its regional offices can provide additional information on how to apply to foundations for support.

Alcoa Foundation
1501 Alcoa Bldg.
Pittsburgh, PA 15219
412-553-3246

American Express Foundation
American Express Plaza
New York, NY 10004

The Bush Foundation
W-962 First National Bank Bldg.
St. Paul, MN 55101

Cabot Foundation, Inc.
125 High Street
Boston, MA 02110
617-423-6000

Campaign for Human Development
1312 Massachusetts Avenue, N.W.
Washington, DC 20005
202-659-6650

Cooperative Assistance Fund
Suite 701
2021 K Street, N.W.
Washington, DC 20006
202-833-8543

Cummings Engine Foundation
1000 5th Street
Columbus, IN 47201
812-379-5160

Dayton Hudson Foundation
777 Nicollet Mall
Minneapolis, MN 55402
612-370-6554

Esmark, Inc. Foundation
111 W. Jackson Boulevard
Chicago, IL 60604

Exxon USA Foundation
800 Bell Avenue
Houston, TX 77002
713-656-3008

The Field Foundation, Inc.
100 E. 85th Street
New York, NY 10028
212-535-9915

Field Foundation of Illinois, Inc.
135 S. LaSalle Street
Chicago, IL 60603

Ford Foundation
320 E. 43rd Street
New York, NY 10017
212-573-5000

General Mills Foundation
9200 Wayzata Boulevard
Minneapolis, MN 55440
612-540-3337

Ghetto Loan and Investment Committee
15 2nd Avenue
New York, NY 10017
212-867-8400

The Hillman Foundation, Inc.
2000 Grant Bldg.
Pittsburgh, PA 15219
412-566-1480

Inland Steel-Ryerson Foundation, Inc.
30 W. Monroe Street
Chicago, IL 60603
312-346-0300

Kellogg (W.K.) Foundation
400 North Avenue
Battle Creek, MI 49016
616-965-1221

Kettering (Charles F.) Foundation
5335 Far Hills Avenue, Suite 300
Dayton, OH 45429
513-434-7300

Lavanburg (Fred L.) Foundation
277 Park Avenue, Rm. 4702
New York, NY 10017

Lilly Endowment, Inc.
2801 N. Meridian Street
Indianapolis, IN 46208
317-924-5471

Lipton (Thomas J.) Foundation, Inc.
800 Sylvan Avenue
Englewood Cliffs, NJ 07632

The Luce (Henry) Foundation, Inc.
111 W. 50th Street
New York, NY 10020
212-489-7700

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McDonnell Aerospace Foundation
P.O. Box 516
St. Louis, MO 63166

Mayer (Oscar) Foundation
5725 N. East River Road
Chicago, IL 60631
312-922-8050

Meyer (Eugene & Agnes E.) Foundation
1730 Rhode Island Avenue, N.W.,
Suite 1212
Washington, DC 20036
202-659-2435

Mott (Charles Stewart) Foundation
500 Mott Foundation Bldg.
Flint, MI 48502
313-239-9441

Presbyterian Economic Development Corp.
475 Riverside Drive
New York, NY 10027
212-870-2218

Public Welfare Foundation, Inc.
2600 Virginia Avenue, N.W.,
Rm. 511
Washington, DC 20037
202-965-1800

The Quaker Oats Foundation
Merchandise Mart Plaza,
Rm. 345
Chicago, IL 60654
312-222-6981

Rockefeller Family Fund, Inc.
49 W. 49th Street
New York, NY 10020
212-247-8135

The Rockefeller Foundation
1133 Avenue of the Americas
New York, NY 10036
212-869-8500

The San Francisco Foundation
425 California Street
San Francisco, CA 94104
415-982-1210

The Singer Company Foundation
30 Rockefeller Plaza
New York, NY 10020
212-581-4800

Southern Cooperative Development Fund
1006 Surrey Street
P.O. Box 3885
Lafayette, LA 70501
318-232-9206

Tishman Realty Foundation, Inc.
666 5th Avenue
New York, NY 10019

United States Steel Foundation, Inc.
600 Grant Street, Rm. 5906
Pittsburgh, PA 15230
412-433-5238

Wieboldt Foundation
11 S. LaSalle Street
Chicago, IL 60603
312-726-1553

Xerox Fund
Xerox Corporation
Stamford, CT 06904
203-329-8711

The Zale Foundation
3000 Diamond Park
Dallas, TX 75247
214-638-8182

C-2. NEDLC PUBLICATIONS

The National Economic Development and Law Center provides back-up planning and legal assistance in economic development primarily to community development corporations and Legal Services attorneys. The Center publishes a bimonthly report as well as special books and articles from time to time. A Lawyer's Manual on Community-Based Economic Development is a particularly valuable resource that should be in every community development library. Following is a list of the Centers publications and a description of two of the most recent manuals.

No. _____

NATIONAL ECONOMIC DEVELOPMENT & LAW CENTER
2150 SHATTUCK AVENUE • BERKELEY, CALIFORNIA 94704 415 • 548 • 2600

Publication Order Form

PUBLICATION	PRICE* Eligible	PRICE* Others	QUANTITY	TOTAL
Economic Development & Law Center Report A bimonthly update of current legal, administrative, programmatic and legislative economic development issues.				
Annual Subscription	no charge	$ 8.00	_____	_____
Back Issues:				
One (1) issue **only** (specify _____)	$ 1.00	1.50	_____	_____
Volume of 6 issues for the year(s) _____, each	5.00	7.50	_____	_____
1975 through 1978 (24 issues)	18.00	25.00	_____	_____
A Lawyer's Manual on Community-Based Economic Development A practical guide, not only for the attorney counseling community development corporations (CDCs), but also for others interested in stimulating economic development in low-income and depressed communities. (1974, 828 p.)	15.00	15.00	_____	_____
Community Economic Development: General Information Packet	3.00	3.00	_____	_____
Neighborhood Resource Information Centers Guidelines on organizing and maintaining a center of materials on governmental and private foundation funding sources.	3.00	3.00	_____	_____
Organizing Production Cooperatives: **A Strategy for Community Economic Development** "How to" manual describes characteristics of production cooperatives and provides guidelines for organization, finance, and management procedures. (1978, 220 p.)	5.00	7.50	_____	_____
Community Development Credit Unions: A Self-Help Manual Delineates the relationship between financial institutions and poverty communities; provides information on organizing and operating a successful CDCU. (1978, 306 p.)	3.00	10.00	_____	_____
Community Development Block Grants: **A Strategy for Neighborhood Groups** Comprehensively covers funding and use of block grants and UDAGs; from basic programs to monitoring of local expenditures and planning and development of community-based alternative proposals. (1978, 274 p.)	3.50	7.50	_____	_____
Implementing the EPSDT/CHAP Program: **A Step-by-Step Guide for Community Organizations** (1977, 164 p.)	2.50	2.50	_____	_____
Health Maintenance Organizations and the Medically Underserved Conference Transcripts (pub. 1975)	10.00	10.00	_____	_____
OTHER: _____	_____	_____	_____	_____
_____	_____	_____	_____	_____

*Most publications are made available at a discounted rate to: CDCs; Legal Services Corporation offices and programs; and community organizations eligible for LSC assistance. Please be sure to complete the reverse side of this form.

TOTAL _____ _____

TAX: Residents of the State of California add 6% Sales Tax;
residents of California's BART district add 6½% Sales Tax
(except for the **Economic Development & Law Center Report**) ..... _____

TOTAL AMOUNT DUE _____

All orders must be prepaid. Please do not send cash. Checks or money orders should be made payable to the **National Economic Development & Law Center** and may be attached to this form and sent to our office for processing. We hope our assistance is helpful.

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Publication: Community Development Credit Unions

A self-help manual providing practical information on organizing and operating a community development credit union (CDCU) is now available from the National Economic Development Law Project. Model CDCUs have already shown themselves to be the greatest force in the battle against redlining and disinvestment. They have become the rallying point for community revitalization efforts, primarily because CDCUs are the only community-controlled financial institution. This control insures that a community agenda is maintained, an agenda which translates into a policy of complete reinvestment within the community. In addition, CDCUs educate community residents on local financial conditions and the disinvestment practices of traditional lenders.

The manual is designed to take a community organization from the first stages of discussing why a CDCU is needed in the community to the actual establishment and operation of a CDCU. The major chapters include information on:

- the economic resources which exist in poverty communities
- how economic resources are drained from poverty communities
- how to research local financial institutions to uncover evidence of redlining and other disinvestment tactics
- how to organize to combat the practices of existing institutions
- the charter process for CDCUs
- the allocation of responsibility within a CDCU
- the operation of a CDCU, including
  - — staffing and staff training
  - — goal and policy formulation
  - — space requirements and location considerations
  - — equipment and supplies
  - — outreach
  - — obtaining share insurance
  - — the new share account and lending provisions enacted by Congress
  - — sample annual operating statement
  - — expansion to a bank or savings loan

The manual includes a bibliography and numerous charts, forms, and illustrations. Also included are a copy of the federal credit union act, selected federal regulations, and federal credit union bylaws with comments by the Law Project.

The manual may be ordered at a prepaid cost of:

$ 3.00 community organizations eligible for assistance from their local legal services office (include in the request the name of the local program and the individual there with whom you are in contact)

$ 3.00 legal services offices

$10.00 all others

Make checks or money orders payable to the National Economic Development Law Project. Send to the attention of Alison Bronstein a. the Law Project.

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New Publication: Organizing Production Cooperatives: A Strategy for Community Economic Development

Recently, there has been a renewed interest in the production cooperative as a mechanism to stimulate economic development in low-income communities. In many instances, it has been successful, both as a vehicle for increasing the amount of economic resources available to low-income residents, and for asserting greater local control over the use of those resources for community residents.

This Manual is a response to the many organizations involved in community economic development who have frequently requested complex information about how to organize production cooperatives. Assisting in its preparation were individuals who have been integrally involved in the basic organizational and legal aspects of forming production cooperatives, specifically new agricultural production cooperatives in California.

It is essentially a "how-to" manual, describing the basic structural and procedural issues of a production cooperative. The discussion concentrates on major functional problems that inevitably must be negotiated and resolved during the development phases of a cooperative. By approaching the problems as they actually occur in the organizing process, we have tried to portray the major issues in their most practical terms. The Manual should help the reader—whether an organizer, planner, lawyer, accountant or business developer—to ask the appropriate questions and to make the wisest and fullest contribution of their time and talents. We have tried not to limit the book to any one industry, government program, or individual theory. Instead, we have attempted to point out the range of stumbling blocks likely to be encountered in forming a cooperative and the problems which diverse circumstances could have in common.

$ 3.00 community organizations eligible for assistance from their local legal services office (include in the request the name of the local program and the individual there with whom you are in contact)
$ 3.00 legal services offices
$10.00 all others

Make checks or money orders payable to the National Economic Development & Law Center. Send to the attention of Alison Bronstein at the Law Project.

APPENDIX D

THE COMPREHENSIVE PLANNING PROCESS

THE COMPREHENSIVE PLANNING PROCESS

Ideally, planning is a process whereby tribes and other communities can rationally identify community needs, set development priorities, identify resources and strategies to obtain them, and manage the implementation of programs and projects once funded. In short, planning is a way of gathering and analyzing information and presenting options which decision-makers base policy choices about development goals, priorities and strategies.

The best planning model is one that is long term (usually five to ten years), ongoing, and comprehensive. It examines all the different elements of the reservation or Native community, analyzes the interrelations among those elements, and anticipates the affects at a particular action or decision in one area on other areas. In other words, it takes a total, rather than piecemeal, view of the reservation.

Comprehensive planning is often accompanied by short-term operational planning, which focuses more on the day-to-day management of tribal operations or to a shorter overall time frame--usually a year, to coincide with federal funding cycles.

Traditionally, comprehensive planning covers the following areas:

- housing and community development facilities
- economic and business development
- human resources and training/development
- social services
- education
- health
- land use
- infrastructure (roads, sewer, water, utilities)
- natural resources

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The process itself, as diagrammed in Chart D-1, may be broken down into the following steps:*

1. *Issues definition.* This preliminary step assists the planner and his/her client in defining the context for planning and any special issues that must be addressed or focused on. This step is essential to make sure any planning model is adjusted to special circumstances or needs of the Indian community. This includes the planner's role, tribal value systems, political structure, specific resources (human and natural) that will be basic subject areas or planning elements, and the scale of concerns, from macro (or Indian Nation, tribal-wide) vs. micro (specific projects or detailed, local concerns).

2. *Inventory and needs assessment.* This is the fundamental data gathering step that also involved review of opportunities and problems within a variety of categories, from land use and development potential to social and economic needs of the community. The inventory may involve statistical measures and data base development, surveys, interviews and group techniques for defining problems and issues, or a combination of techniques. The inventory generally describes "what" exists.

3. *Analysis* - an assessment of what the data collected or inventory means in terms of trends, patterns, projections, comparisions or any variety of techniques for interpreting data. Analysis may also involve the application of standards (such as condition or use standards, like housing condition) to determine the degree of need or requirements for improvement. The analysis attempts to diagnose "why" a particular condition exists or will exist.

4. *Goals and objectives.* Based on some understanding of needs, conditions and issues affecting the community, this step involves stating goals or desired future states/conditions. Goals, in turn, provide a framework for objectives which are more oriented to measurable conditions obtained by specific activities and programs. Ideally, goals and objectives should be formulated based on involvement of the decision-maker, program staff and tribal members.

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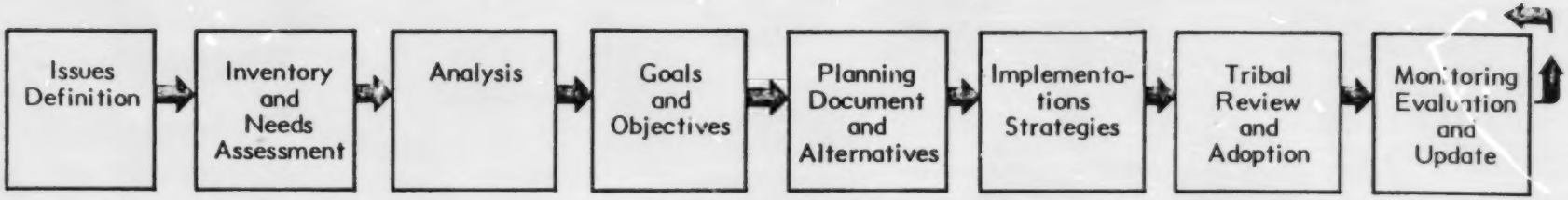
*From Charles W. Johnson et al., A Survey of Comprehensive Planning for Tribal Governments (Washington, D.C.: United Indian Planners Assn., 1979, pp. III-7 - 11.

CHART D-1

COMPREHENSIVE PLANNING PROCESS



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- Tribal Values and Customs
- Political Issues
- Planner's Role in Tribal Organization
- Tribal Resources To Be Affected
- Macro vs. Micro Issues

5. *Planning document and alternatives.* Planning documentation at this step may be viewed at two levels: first, the general comprehensive plan that covers a variety of subjects; and second, plans for specific elements or categories of services (see the middle column of Chart D-2). More sophisticated and long-range planning documents may involve a statement and review of alternative courses of action and their impacts (such as land use alternatives in a sketch plan or alternative sites for housing and community facilities). Such documentation should undergo a period of review and debate among affected parties.

6. *Implementation strategies.* This takes planning down to specific strategies or courses of action and may include such features as budgets, organizational responsibility, schedules, and policies or standards for specific activities. Development of implementation strategies should involve officials responsible for both funding (such as Federal grantor agencies) and program execution (such as tribal program directors).

7. *Tribal review and adoption* - this step may occur at two stages: first, after review of the planning document (Step 5) and after review of specific implementation plans or strategies (Step 6). Of course, Steps 5 and 6 could be combined as one.

8. *Monitoring, evaluation and update.* This involves tracking and reviewing the impact of actions in light of original goals/objectives, planning policies and approved implementation strategies. As the monitoring of action vs. plan proceeds, the planner may have to update or adjust the plan and policies according to new information, circumstances and requirements.

In reviewing this general process, the planner may find that he/she has to jump in mid-stream and does not have the luxury or resources to follow the logic as presented. This is to be expected, but the planner, if forced to start from the middle, should attempt to clarify issues, needs and goals, on the one hand, and implementation options and controls, on the other.

CHART D-2

COMPREHENSIVE PLANNING PRODUCTS